

Open Access:

The University of Kansas Lessons

A. Townsend Peterson
University of Kansas

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What Is Open Access (from Peter Suber)?

- Open-access (OA) literature is digital, online, free of charge, and free of most copyright and licensing restrictions.
- OA is possible thanks to the internet and consent of the copyright-holder.
- Scholarly journals do not generally pay authors, who can therefore consent to OA without losing revenue.
- OA is compatible with peer review; all major OA initiatives for scientific and scholarly literature insist on its importance.
- OA literature is not free to produce; the goal is to make scholarly literature costless ... are there are better ways to pay the bills than by charging readers and creating access barriers.

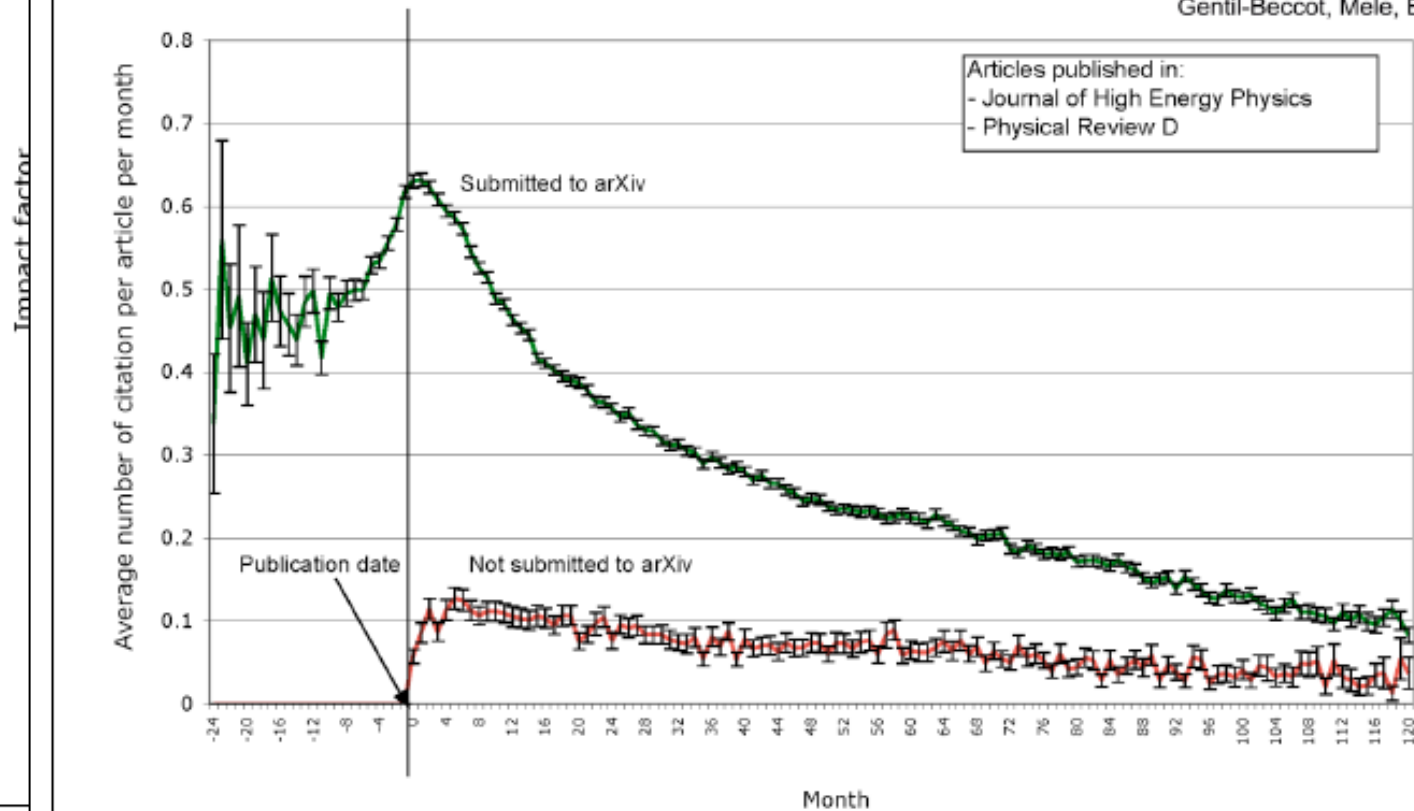


Figure 3. Average number of citations per article per month as a function of the time of the citation relative to the time of publication. Citations at negative times occurred

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The Open Access citation advantage: Studies and results to date

[URI & RDF](#)

Swan, A. (2010) The Open Access citation advantage: Studies and results to date. Technical Report , School of Electronics & Computer Science, University of Southampton.

Size of OA citation advantage when found (and where explicitly stated by discipline)

% increase in citations with Open Access

Physics/astronomy

170 to 580

Mathematics

35 to 91

Biology

-5 to 36

Electrical engineering

51

Computer science

157

Political science

86

Philosophy

45

Medicine

300 to 450

Communications studies (IT)

200

Agricultural sciences

200 to 600

Science/AAAS | Sign In - Windows Internet Explorer

SpringerLink - Log In - Resource Secured - Windows Internet Explorer

Chicago Journals - The Quarterly Review of Biology - 78(4):419 - PDF Version - Windows Internet Explorer

Wiley InterScience :: - Windows Internet Explorer

http://www3.interscience.wiley.com/user/accessdenied?ID=118813085&Act=2138&Code=4717&Page=/cgi-bin/fulltext/118

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Ecological niches as stable distributional constraints on mammal species, with implications for Pleistocene extinctions and climate change projections for biodiversity

Enrique Martinez-Meyer, A. Townsend Peterson, William W. Hargrove

Global Ecology and Biogeography

Volume 13, Issue 4 , Pages305 - 314

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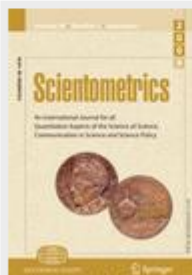
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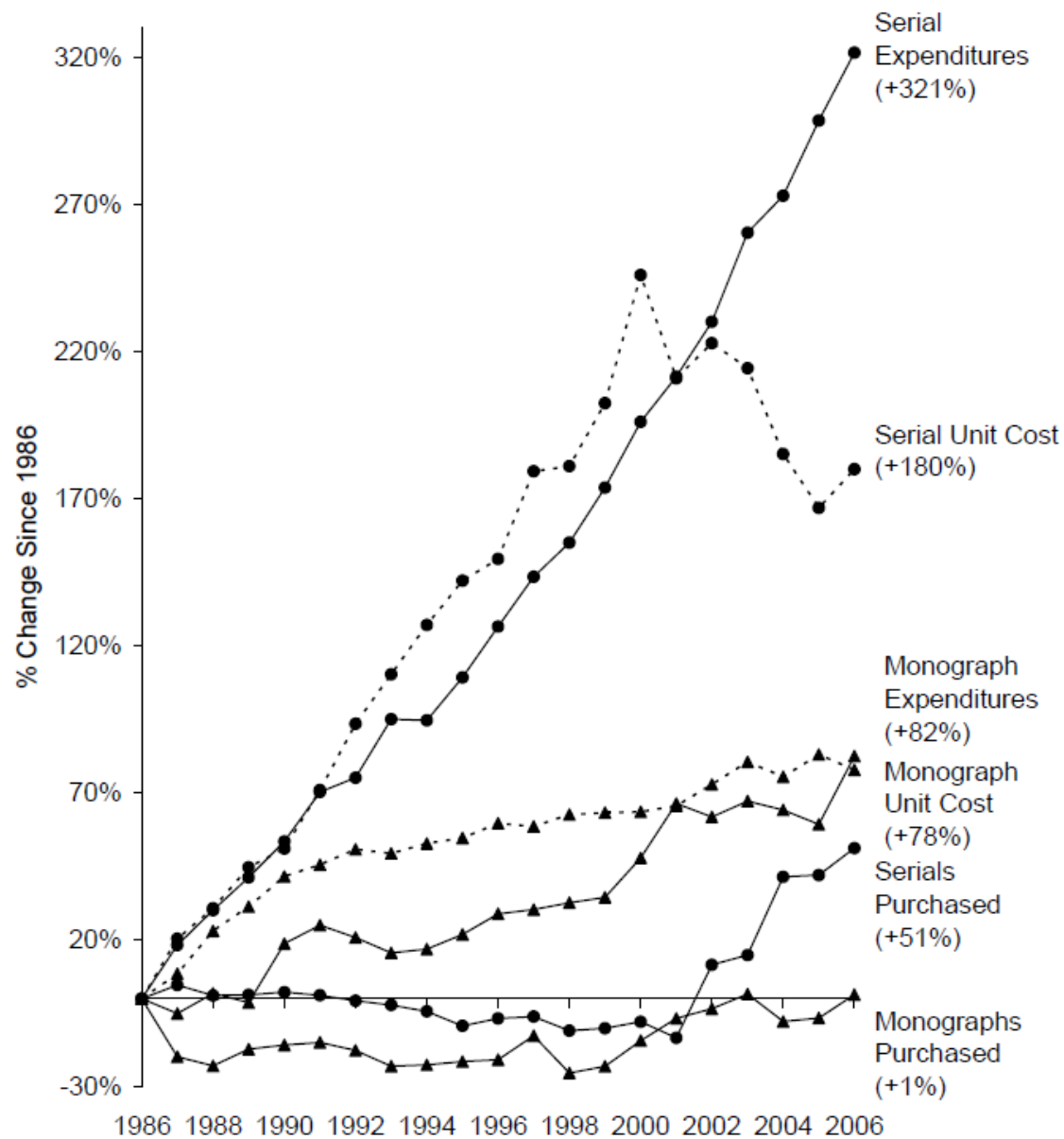


Open access scientometrics and the UK Research Assessment Exercise

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Journal	Scientometrics
Publisher	Akadémiai Kiadó, co-published with Springer Science+Business Media B.V., Formerly Kluwer Academic Publishers B.V.
ISSN	0138-9130 (Print) 1588-2861 (Online)
Issue	Volume 79, Number 1 / April, 2009
DOI	10.1007/s11192-009-0409-z
Pages	147-156

Monograph and Serial Expenditures in ARL Libraries, 1986-2006*



Source: ARL Statistics 2005-06, Association of Research Libraries, Washington, D.C.

*Includes electronic resources from 1999-2000 onward.

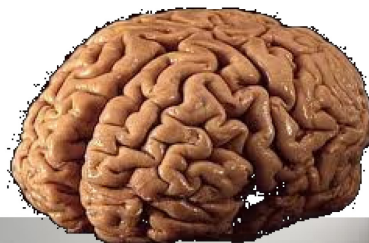
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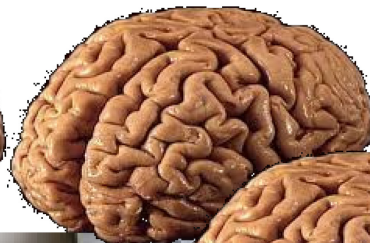
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ATP Opinion I

Academic publishing has been “bought out” by an opportunistic commercial publishing world, and is fast becoming inaccessible to the academic community, and particularly to the global scholarly community.

Solution #1 – OA Journals

Directory of Open Access Journals

http://www.doaj.org/

OWA KU ORN OA Chickens GBIF FLC Readability ENM HomeNet PlioMIP Geodes CIAT GCMS KLM Foreign Stamp Identif... KU KUJR Other

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Table 2. Number of Fully Open Access Scholarly Journals

Description	Date	Source	No. OA Titles	Total No. Titles	OA Proportion
Non peer reviewed titles					
DOAJ claim	End 2006	Bjork et al.	2,691	60,911	4.4%
Ulrich's data	End 2006	Bjork et al.	2,690	60,911	4.4%
DOAJ claim	April 2009	DOAJ	4,041	65,817	6.1%
Ulrich's data	April 2009	Ulrich's	3,788	65,817	5.8%
Peer reviewed titles					
Estimate from Bjork et al	End 2006	Bjork et al.	1,735	23,750	7.3%
Extrapolated from Bjork et al. *	April 2009	DOAJ, Bjork et al.	2,606	25,622	10.2%
Ulrich's data	End 2006	Ulrich's	1,901	23,638	8.0%
Ulrich's data	April 2009	Ulrich's	2,313	25,622	9.0%
Curated titles					
Medline titles in DOAJ	April 2009	DOAJ, Medline	359	5,374	6.7%
EBSCO titles in DOAJ	April 2009	DOAJ, EBSCO	2,190	19,134	11.4%

Notes: Total number of titles: all sources use Ulrich's Periodicals Directory. Bjork et al. ran their Ulrich's search in Winter 2007 (end of 2006), but the paper analysed journals in 2006 to allow for lag in the production of journal impact factors.

* Bjork et al.'s 2006 estimated number of peer reviewed OA titles as 64.5% of all DOAJ titles, pro-rated to April 2009.

Source: Various (as per table), Outsell Analysis

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Solution #2 – Work Within the Limits



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Publisher copyright policies & self-archiving

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One journal found when searched for **0012-9658**:

Journal: **Ecology -New York-** (ISSN: 0012-9658)

Publisher: **Ecological Society of America**

This summary is for the publisher's *default* policies and changes or exceptions can often be negotiated by authors.
All information is correct to the best of our knowledge but should not be relied upon for legal advice.

Publisher: [Ecological Society of America](#)

Author's Pre-print: ✓ author can archive pre-print (ie pre-refereeing)

Author's Post-print: ✓ author can archive post-print (ie final draft post-refereeing)

Publisher's Version/PDF: — archiving status unknown

General Conditions:

- Publisher copyright and source must be acknowledged (first page must state "Copyright by the Ecological Society of America," along with the full citation)
- On author or institutional server

Mandated OA: Compliance data is available for [2 funders](#)

Copyright: [Policy](#)

RoMEO: This is a [RoMEO green](#) publisher

Updated: 09-Oct-2008. [Suggest an update for this record](#)

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Publisher copyright policies & self-archiving

One journal found when searched for **journal of ecology**:

Journal: **Journal of Ecology** (ISSN: 0022-0477)

Publisher: **Wiley-Blackwell**

This summary is for the publisher's *default* policies and changes or exceptions can often be negotiated by authors.
All information is correct to the best of our knowledge but should not be relied upon for legal advice.

Publisher: [Wiley-Blackwell](#)

Author's Pre-print: ✓ author can archive pre-print (ie pre-refereeing)

Author's Post-print: ✗ subject to Restrictions below, author can archive post-print (ie final draft post-refereeing)

Restrictions:

- If signed CTA, only allowed with written permission
- 0-24 months depending on journal

Publisher's Version/PDF: ✗ author cannot archive publisher's version/PDF

General Conditions:

- Please see former John Wiley & Sons and Blackwell Publishing policies for articles published prior to February 2007
- Self-archiving rights vary between journals, please check individual journal policies before depositing
- On author website, employers website/repository and on free public servers in subject area
- Publisher's version/PDF cannot be used
- Publisher source must be acknowledged with citation
- Must link to publisher version with set statement [The definitive version is available at www3.interscience.wiley.com]

Mandated OA: Compliance data is available for [7 funders](#)

Paid open access: [Online Open](#)

Copyright: [Author Services](#) - [Copyright FAQs](#) - [Open Access Policy](#) - [Funding Agency Policies](#) - [Example CTA](#) (pdf)

RoMEO: This is a RoMEO **yellow** publisher

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Publisher copyright policies & self-archiving

One journal found when searched for **vector borne**:

Journal: **Vector Borne and Zoonotic Diseases** (ISSN: 1530-3667)

Publisher: **Mary Ann Liebert**

This summary is for the publisher's *default* policies and changes or exceptions can often be negotiated by authors.
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Publisher:	Mary Ann Liebert
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Author's Post-print:	X author cannot archive post-print (ie final draft post-refereeing)
Publisher's Version/PDF:	— archiving status unknown
General Conditions:	<ul style="list-style-type: none">NIH authors will have their final paper, (post peer review, copy-editing and proof-reading) deposited in PubMed Central on their behalf
Mandated OA:	Compliance data is available for 7 funders
Paid open access:	Liebert Open Option
Copyright:	Policy (pdf)
RoMEO:	This is a RoMEO white publisher
Updated:	19-Nov-2008. Suggest an update for this record

SOLUTION #3 – CHANGE THE LIMITS: THE OA@KU EXAMPLE

History of Open Access at KU: Scholarly Communication Reform, 1999-2008

- 2000 – KU holds seminar: “From Crisis to Reform: Scholarly Communication and the Tempe Principles;” KU’s then-Provost David Shulenberg’s paper, “Moving with Dispatch to Resolve the Scholarly Communication” placed KU on the national scene as a leader in conversations about scholarly communication
- 2005 – Seminar "The Changing Landscape of Scholarly Communication: The Role of Digital Repositories"
- 2005 – KU faculty governance passes a resolution to encourage greater access to scholarship created at the University
- 2005 – KU ScholarWorks goes live
- 2006 – KU Medical Center sponsors “Mass and Matter: Public Access to Scientific Information” conference
- 2007 – KU launches its first hosted journal publications using Open Journal Systems
- 2008 – KU invites Stanford professor John Willinsky to lead a Globalization Seminar at KU entitled “Open Access to Knowledge: What Comes of the Right to Know in Kansas and Kumasai”

Conclusion: The idea for crafting an open access policy for KU was a natural outgrowth of interest, concern and advocacy, fostered over ten years

KU Open Access Policy—Phase I:

- March 2008 – Faculty of Arts and Sciences of Harvard passes the first open access policy in the United States in March, 2008; early discussions begin among KU faculty
- Late Spring 2008 – KU's Faculty Senate Executive Committee (FacEx) charges the Faculty Research Committee to develop a policy for faculty consideration in the 2008/2009 academic year: *Develop a policy designed to promote open access to KU scholarship. The policy would outline a process to collect, preserve, and disseminate scholarly articles of KU faculty through KU ScholarWorks. Recommended policies should be discussed by governance and the KU research community.*
- Late 2008 – early 2009 – Subcommittee members meet, develop policy drafts, suggest implementation details, and advance the Open Access message proactively across campus
 - Web-based survey distributed to faculty to assess attitudes and knowledge of OA
 - Two open meetings convened for faculty to hear about OA
 - Presentations made to FacEx, KU administration, and faculty senate meetings
- April 2009 – FacEx proposes a revised policy statement, without inclusion of implementation details; policy passed overwhelmingly by the Faculty Senate
- May 2009 – policy approved by the Provost and Chancellor in May, 2009; final sentence: *Faculty governance in consultation with the Provost's office will develop the details of the policy which will be submitted for approval by the Faculty Senate.*

KU becomes first public institution with faculty-approved OA policy

However, implementation details not in place

KU Open Access Policy—Phase II:

- KU Open Access Task Force formed in summer 2009, including faculty (including librarians), university administrators, and a Faculty Senate member as chair
- 20 public meetings with >220 faculty and administrators (6 “brown bag” lunches, one open meeting for all faculty, presentations to 8 academic departments, progress reports to FacEx, Faculty Senate, "Academic Council,” and Graduate Student Senate
- Discussions with the Information Technology Unit and the KU Libraries to clarify their roles
- “Early adopter” departments and individual faculty members enlisted
- February 2010 – final drafts of the policy revision and implementation outline submitted, policy approved as submitted, implementation document endorsed, Provost and Chancellor approved

KU OA Policy was the product of dedicated, , long-term, hard work (ATP received 2305 emails!) by a broad consortium of KU faculty and administration

KU Challenges

- Detail the situations in which it applies
- Specify which entities or persons would be responsible for the collecting and serving of such works
- Offer advice/guidance to faculty in interactions with publishers
- Delineate time frames for publication and deposit in ScholarWorks
- Detail how (or whether) participation would be assured and any “opt out” options offered
- Take into consideration the special and diverse needs and interests of the entire spectrum of disciplines represented across KU
- Take into particular consideration the cares and concerns of junior and untenured faculty

KU Faculty Survey - Potential Benefits

	Not important	Somewhat important	Neutral	Important	Very important	Response Count
Preserve the research of KU scholars in a central place, such as KU ScholarWorks	14.6% (20)	7.3% (10)	27.7% (38)	29.9% (41)	20.4% (28)	137
Make preprint versions, (i.e. first drafts prior to peer review sent to publishers) of my research freely available to a worldwide audience	49.6% (68)	8.8% (12)	19.7% (27)	16.1% (22)	5.8% (8)	137
Make my research available before the traditional publication	38.7% (53)	14.6% (20)	24.8% (34)	16.1% (22)	5.8% (8)	137
Make my research available online without my having to maintain a website of my own	14.7% (20)	8.8% (12)	18.4% (25)	33.1% (45)	25.0% (34)	136
Provide long-term preservation of my digital research materials (e.g., data, images, drafts)	15.9% (22)	8.7% (12)	10.9% (15)	34.1% (47)	30.4% (42)	138
Make it easier for other people to search for and locate my work	8.0% (11)	5.1% (7)	8.7% (12)	39.1% (54)	39.1% (54)	138
Make access to my work to scholars in other countries more convenient	10.2% (14)	7.3% (10)	10.9% (15)	35.0% (48)	36.5% (50)	137

KU Faculty Survey – Potential Problems

	Not important	Somewhat important	Neutral	Important	Very important	Response Count
I am hesitant to assign non-exclusive distribution rights for my scholarly works to KU	22.0% (29)	3.8% (5)	28.0% (37)	26.5% (35)	19.7% (26)	132
I am concerned that highly selective publishers will resist any copyright variations or changes	8.3% (11)	12.8% (17)	14.3% (19)	37.6% (50)	27.1% (36)	133
I am unclear of the copyright requirements or issues associated with such a policy	8.5% (11)	7.7% (10)	22.3% (29)	36.2% (47)	25.4% (33)	130
I am concerned that it will impact the citation value and will not count towards tenure	30.8% (40)	9.2% (12)	20.8% (27)	23.8% (31)	15.4% (20)	130
I am worried about the risk to the patentability of my ideas	46.6% (61)	9.9% (13)	26.0% (34)	10.7% (14)	6.9% (9)	131
I am concerned it may impact certain grants and research activities	36.9% (48)	9.2% (12)	23.1% (30)	16.2% (21)	14.6% (19)	130
I already submit to a pre- or post-print server	53.7% (65)	0.8% (1)	32.2% (39)	5.8% (7)	7.4% (9)	121

Faculty Concerns I

- *As I read the policy it is mandatory for all faculty. I am strongly opposed to that. An optional open access policy seems reasonable enough. In my own case, I do not see the need for such a policy. Professor, Philosophy*
- *I am not comfortable with KU insisting that I will do all these things. I have about five or six publications I use, what if we all give the publishers' names or the journals names and the provost's person goes directly to them. I have no idea what that involves but that puts the burden on people whose job it is to do. Professor A, Physics*

Faculty Concerns II

I am writing to express my strong opposition to the open access policy you are trying to shove down the throats of KU faculty.

What incentive will remain for scholarly journals to continue to exist if we just throw everything on the web with no intermediation? We're seeing the catastrophic effect of an "anything-goes" attitude toward the economy; I believe that we'll likewise end up with a disaster in the marketplace of ideas if we destroy the regulatory framework provided by peer-refereed journals. From my perspective as a humanities scholar, the current system ain't broke, and I resent you trying to "fix" and thus destroy it.

If KU scientists want to cheapen their own work, that's fine: let them post anything they please on KU Scholarworks. Why must the rest of us follow suit? Why can't I opt out forever, if I so choose? Professor, English

Faculty Concerns III

I'm very disturbed by this policy ... The physicists already have open access and preprint servers to provide open access so why am I being compelled to do more than I've already done to promote open access? ... If I can prove that I'm following open access rules already, can I opt out of this policy by filling out a form every year that keeps me having to do it paper by paper?

I also want to do research and keep publishing papers and getting grants for KU and not some other university. I also want my Chair to be able to focus on issues that are really important and not having to deal with the approximately 15 faculty members who won't abide by this and will ignore it.

Professor B, Physics

Faculty Concerns IV

- *The “fast-track” approach is a concern to many of us because the policy appears to us to be totally flawed and with a strong element of compulsion and potential punishment for non-compliance.*
- *Some of us would rather work that spend time trying to block Stalinist procedures generated by faculty governance.*
- *Let me be clear:*
 - *1. You cannot steal my research products.*
 - *2. I will not participate in this program.*
 - *3. In the interest of full disclosure, I regularly participate in Open Access activities, including posting my publications on open servers and publishing in Open Access journals, particularly PloS ONE.*
- *However, I do not need my hand held, nor do I feel a need to try to force anyone else to do this. Professor C, Physics*

Faculty Concerns V

My biggest concern is not about logistics of the so called OA policy but its mandatory nature. None of your arguments touched upon this fundamental question. The spirit of this policy is "dictatorship" and "power without representation". According to your logic then KU should also have a "good health" policy which forbid smoking, and/or force every faculty member to exercise 60 minutes everyday. If the proponents of this wicked OA policy do not agree that the proposed OA policy is not essentially a kind of dictatorship then why not making it opt-in? I do not care if this is initiated by Provost's office or by some KU professors who like this kind of OA policy just do not pretend it is in the best interest of everyone. I know where my best interest is and absolutely do not need their advice. Professor D, Physics

KU Faculty Survey – Major Concerns

- **Journals will not want to publish KU papers**
 - >60% already have this arrangement in place
- **More work for me**
 - 2 emails are all that is required
- **KU is not Harvard**
 - No, but we should not sell ourselves or our scholarship short
- **Most papers already available online. Why bother?**
 - Try downloading from home! Or another country!!
 - Only 15% of scholarship is open access at the moment
- **Doing it already on my own website**
 - Not visible to online search tools (e.g., Google Scholar)
 - No automatic preservation and backup

EFFECTIVE ARGUMENTS FOR OA@KU

Worldwide Reach I

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http://www2.ku.edu/~slavic/sj-sls/

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Henning Andersen (Los Angeles): The Western South Slavic Contrast Sn. *sah-ni-ti* || SC *sah-nu-ti*

Marc L. Greenberg (Lawrence): Multiple Causation in the Spread and Reversal of a Sound Change: Rhotacism in South Slavic

Nikolai Mikhailov (Videm/Udine): Die sogenannte »slowenische Homilieskizze« (»Slovenski načrt za pridigo«) aus der handschriftlichen Periode der slowenischen Sprache

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Title: Multiple Causation in the Spread and Reversal of a Sound Change: Rhotacism in South Slavic

Authors: [Greenberg, Marc L.](#)

Keywords: South Slavic languages
Croatian language
Serbian language
Bosnian language
rhoticity
sound change
sociolinguistics
medieval period
dialectology
Slovene language
Slovenian language
historical linguistics

Issue Date: 1999

Publisher: ZRC SAZU / Hall Center for the Humanities

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Type: Article

Abstract: SLOVENE: Prispevek obravnava spremembo $\dot{z} > r$ ("rotacizem") v južnoslovanskih jezikih, kot se najde npr. v sedanjiku glagola *može(ť) > sln. mó.re, hrv./bos. nar. mo"re, v oziralnih veznikih (*kako ž(e) > sln. kakor), v različnih prislovnih tvorbah, npr. (*bože > bore), v nekaterih sln., hrv./bos. narečjih tudi v sedanjiku glagola (*gъnati :) *žene(ť) > rene. Izvor te spremembe je različno obravnavan kot fonetična ali oblikoslovna (analogna) sprememba, vendar pa nobena od razlag ne pojasnjuje omejene uresničitve spremembe (tj., sprememba je omejena na majhno število leksemov in slovničnih kategorij) in zelo različnih arealov spremembe v vsakem posameznem

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Czech Republic	3.0	1.03
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Netherlands	3.0	1.03
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Belgium	2.0	0.68
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Slovenia	4	1.28
France	4	1.28
Canada	3	0.96
Switzerland	3	0.96
Israel	2	0.64
Poland	2	0.64
Netherlands	2	0.64
Turkey	1	0.32
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No Experience I

From Editors, *The Quarterly Review of Biology*

To: A. Townsend Peterson

Contribution: Review of "Infectious Disease Ecology," edited by R. S. Ostfeld et al.

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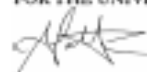
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Opt Out *versus* Opt In

- Proposed policy is “in by default, need to opt out”
 - Advantage of collective action, collective voice
 - Encourages broad participation
- Why not “out by default, need to opt in”?
 - Such a policy is already in place at KU
 - Not well known for lack of investment and publicity
 - Lacks clear message to publishers of institutional policy

WHERE ALL THIS IS GOING ...

Open Access Primer (Public Version)

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Who's Inside

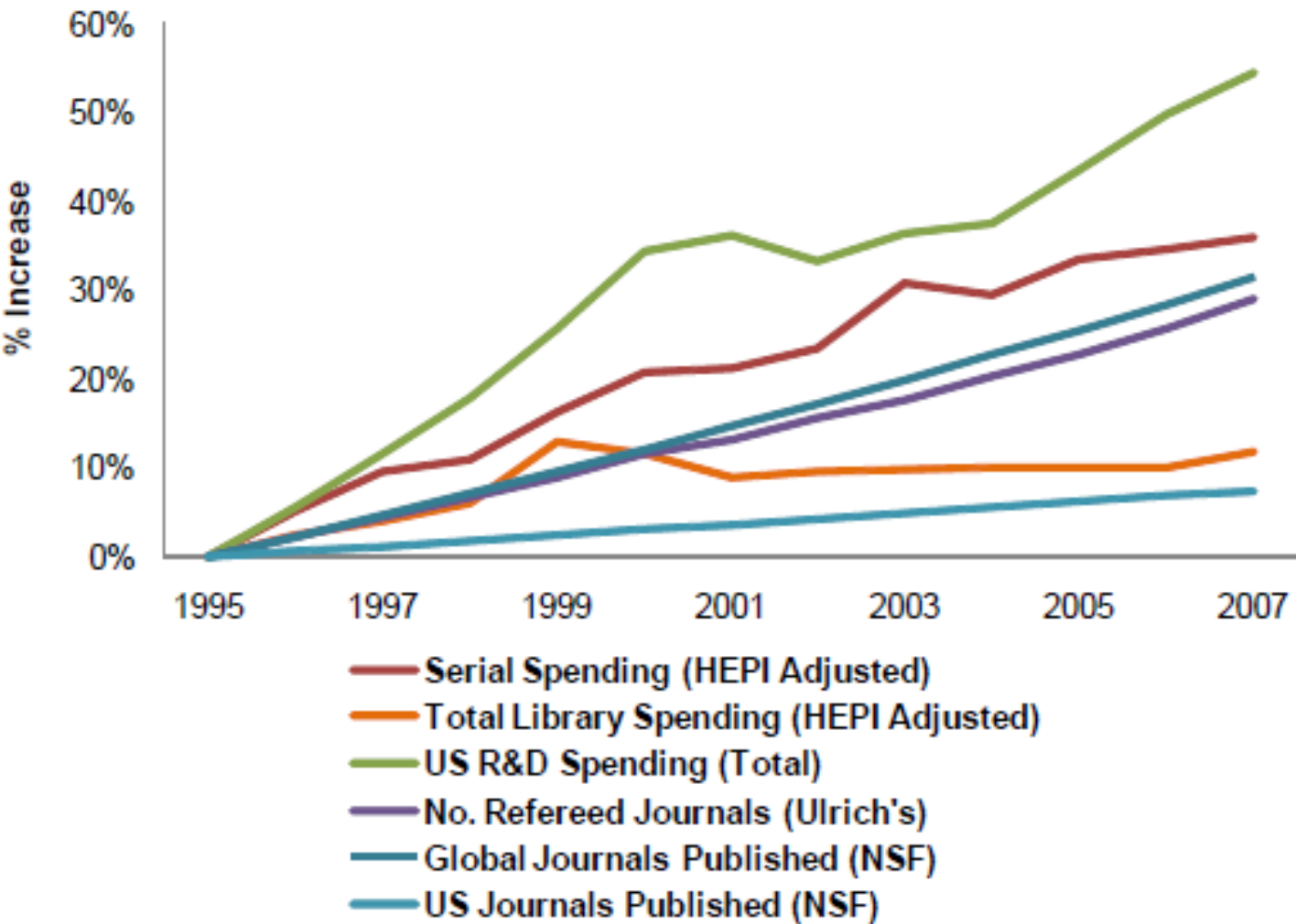
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Why This Topic?

Open access (OA) is a born-digital publishing business model in which content is made available for free. It is made possible by the networked digital environment in which the dissemination costs of information are near zero. Since its idealistic beginnings we have seen the emergence of practical realities, including profitable open access publishers, government-sponsored open access mandates, and a slow but steady increase in its adoption.

Open access has attracted a huge amount of attention and passionate debate in the STM world. It is a subject that remains full of contradictions. Funders and librarians claim an access crisis, but downloads have never been higher; publishers experiment with new models, while their trade associations lobby against change; some think open access is inevitable, others think it will never really take off; some see it as evolution, some as revolution; some as lifesaving, some as life threatening; many suggest there's no disagreement, but they all engage in debate.

Figure 4. US Library Spending, R&D Spending, and Journals Relative to 1995



Sources: National Science Foundation; Association of Research Libraries;
Ulrich's Periodical Directory; Outsell Analysis
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In Outsell's Opinion

Open access is a “pay to publish” business model. It shifts the “toll booth” of publisher services from reader-side to author-side. It represents a less benign model to publishers, as it breaks the monopoly of ownership of must-have units of content and will bring price elasticity, and therefore reduced revenues, to the primary journal publishing market. Its adoption is driven by the wish of the funders of science to offer free public access to the results of the research they fund. They are attaching conditions to their grants to effect change and overcome the inertia of current academic culture.

In April 2009, Outsell estimates OA penetration to be 9.8% by number of articles, or \$277 million, growing at 11.3% per year and representing 3.1% of the primary publishing market. At current growth rates it will be decades before OA takes over, unless stimuli such as funder mandates gain traction. Early signs are that they can effect change, as witnessed by the leap in deposition compliance rates by researchers following the introduction of the NIH mandate. OA pricing is more closely related to first copy production costs than to making up legacy revenue streams. So in the event of widespread take-up of OA, market value will shrink significantly – our estimates suggest by 57%. However, open access models tap into faster-growing R&D spending streams, and a combination of aggressive pricing and focusing on territories with double-digit R&D spending growth would significantly mitigate these effects, and over a 10-year period could ultimately deliver a market of lower margin, faster growth, and perhaps even greater value than the current one.

ATP Opinion II

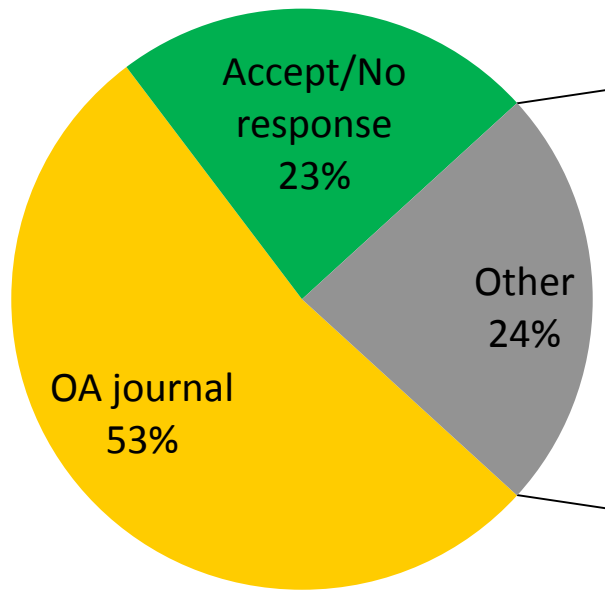
- Many ways to skin the OA cat
- Important points:
 - Scholarly publications are *not* easily available, in my field ~75% are offlimits
 - Problem worse anywhere but NA and Europe
 - Solution is not the PLoS model ... open access to readers, but *not* to writers, yet global community of scholars is growing
- Important to consider the global community
- Important to consider the diversity presented by academic ... *very* broad

ONCE YOU HAVE YOUR OA POLICY
... NOW WHAT????

Challenges

- Grow out the policy implementation
- Make participation feasible and convenient
- Strategize and learn from interactions with publishers
 - “I am still trying to get an answer on this (been through several departments) - it seems to have taken us by surprise. ”

First Lesson



First Lesson

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Conclusions re University OA Policies

- Requires significant investment from faculty and administration
- Requires champions (librarian, faculty, admin)
- Requires a *very* thick skin
- Requires flexibility at all stages ... take what you can get, keep at it, and evolve
- Friends and enemies will appear in the places one least expects
- KU *almost* failed at several points, but strategy, flexibility and luck made success possible
- KU would *love* company ... let's go Colorado!

Thanks Very Much!

Me: town@ku.edu

Ada Emmett, head of KU@OA initiative:

aemmett@ku.edu