



Scholarly Publishing & Academic Resources Coalition
An initiative of the Association of Research Libraries

www.arl.org/sparc

Open Access Initiatives: Public Access Policies in the United States

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9th World Congress on Health Information and Libraries,
September 21, 2005 • Salvador, Brazil



About SPARC

www.arl.org/sparc

- Coalition of academic & research libraries (200+ in North America) working to address inequities in scholarly publishing system.
- Pragmatic agenda -- mission is to:
 - expand dissemination of research
 - Leverage networked digital environment to serve scholarship.
 - reduce financial pressures on libraries.
- Strategy: Education, Incubation and **Advocacy**



Market forces driving change

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1. Technology has changed **everything!**
2. Research library funding constraints continue to grow
3. Market power of STM giants - mergers, acquisitions change complexion of marketplace

“...it’s clear the current model is breaking up.” – Outsell (Feb. 2004)



Scholarly communication mission

Research conducted and can be easily communicated electronically - and communicated much more widely, advancing scholarship.

Address: <http://opcit.eprints.org/ocitation-biblio.html>

OpCit
project

The Open Citation Project - Reference Linking and Citation Analysis for Open Archives

See also [Papers produced by the project](#)

The effect of open access and downloads ('hits') on citation impact: a bibliography of studies

Despite significant growth in the number of research papers available through open access, principally through author self-archiving in institutional archives, [it is estimated that only c. 20% of the number of papers published annually are open access](#). It is up to the authors of papers to change this. Why might open access be of benefit to authors? One universally important factor for all authors is impact, typically measured by the number of times a paper is cited. **Studies have begun to show that open access increases impact**, although more studies and more substantial investigations are needed to confirm the effect.

This chronological bibliography is intended to describe progress in reporting these studies; it also lists the Web tools available to measure impact. It is a focused bibliography, on the relationship between impact and access. It does not attempt to cover citation impact, or other related topics such as open access, more generally, although some key papers in these areas are listed as starting points for wider study.

Last updated 29 September 2004; first posted 15 September 2004. Please [email](#) additions, corrections or comments to Steve Hitchcock.

Studies with original data

Highlights

[Lawrence \(2001\)](#) was the first to publish data recognising the trend for online publication to increase impact, confirmed for open access papers by the work of the Open Citation Project based on arXiv (e.g. [Harnad and Brody, D-Lib, 2004](#)), and by Kurtz *et al.* (2004a, 2004b) looking at the NASA Astrophysics Data System. Commenting on Harnad and Brody (*D-Lib*, 2004) in *Open Access News*, [Peter Suber said](#):

Link: <http://opcit.eprints.org/opcitpapers.shtml>

“More sites, more cites.”



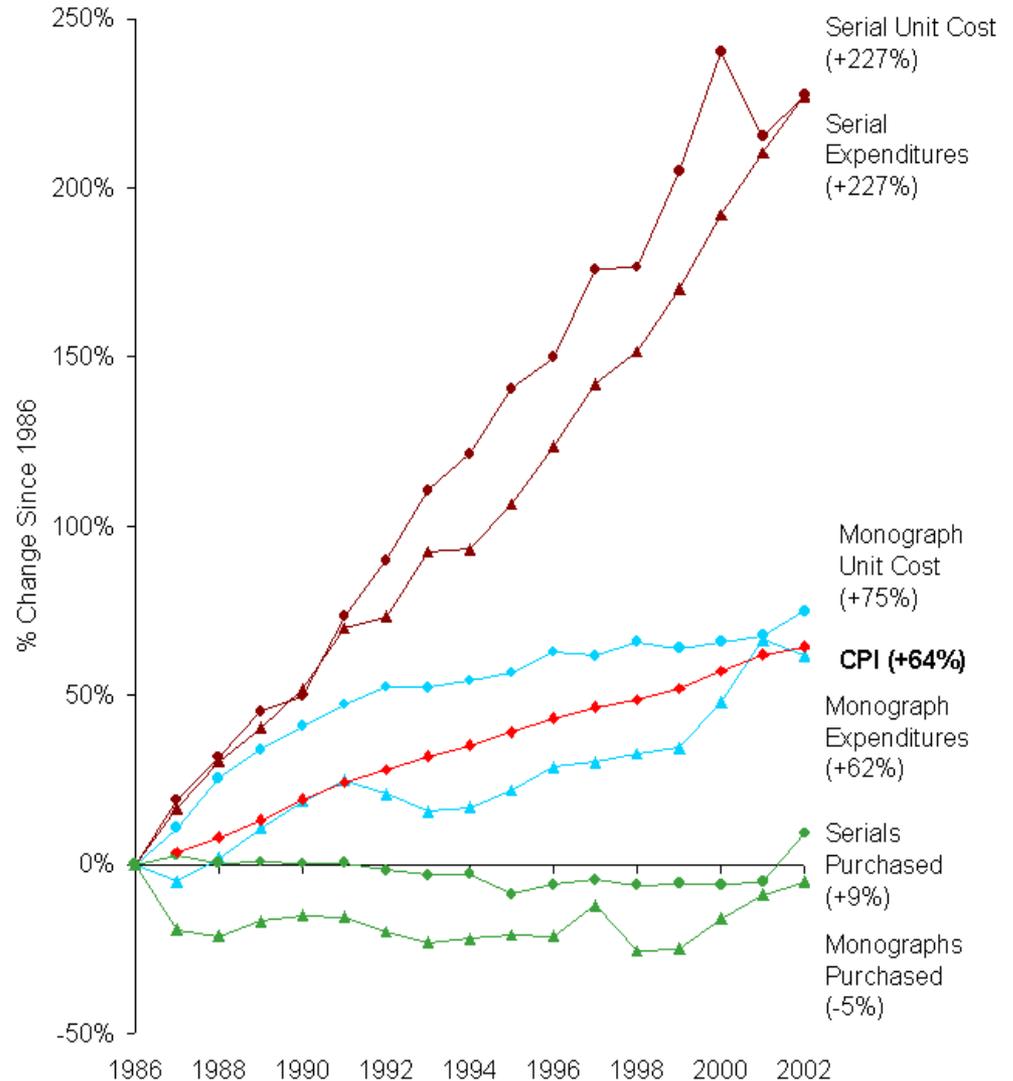
Library funding constraints

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Serial & Monograph Costs, 1986-2002

North American research libraries

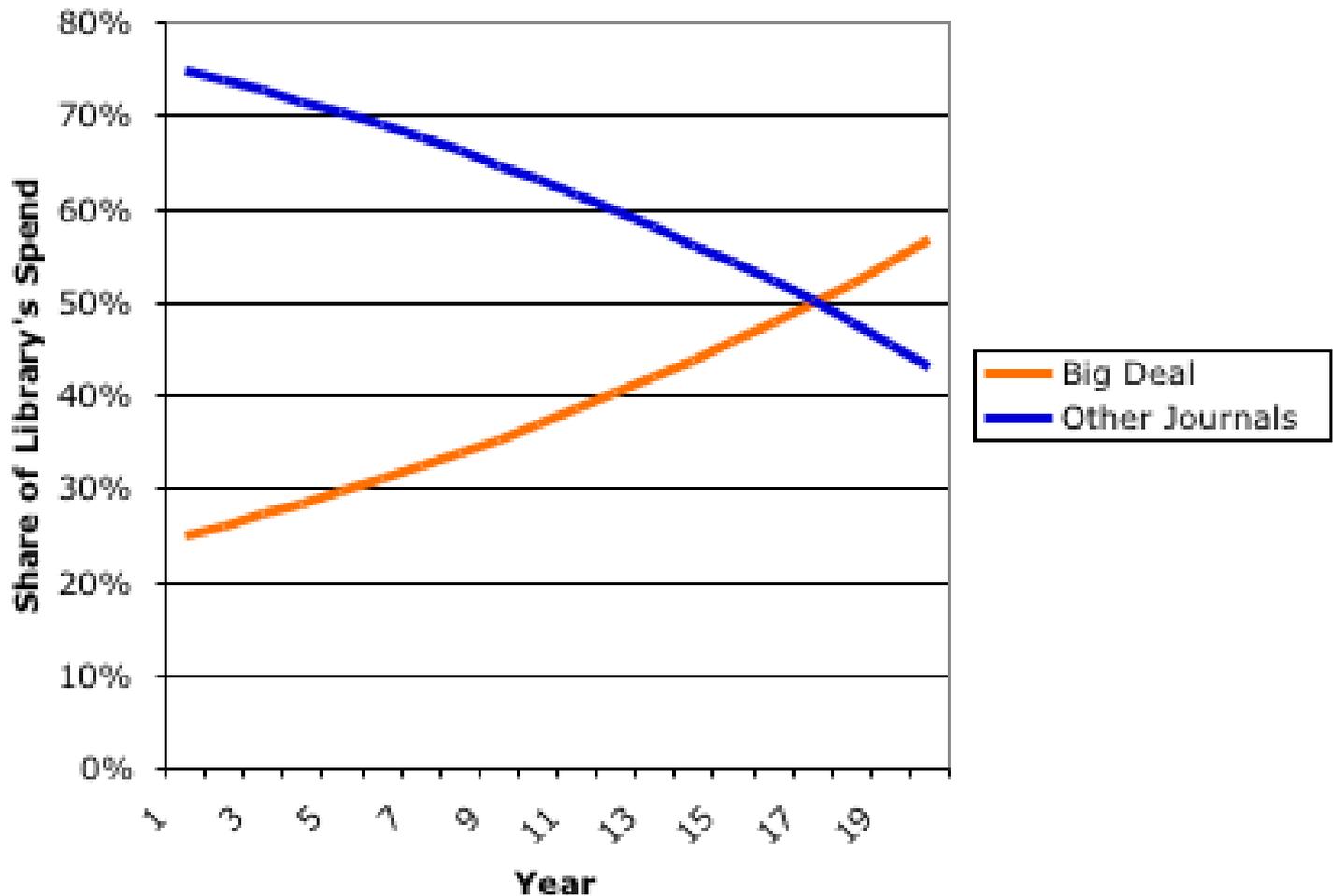
ARL Statistics





Market power of STM giants

Change in Market Share





Opportunity knocks

“An old **tradition** and a new **technology** have converged to make possible an unprecedented **public good**”

.....BUDAPEST OPEN ACCESS INITIATIVE



Research results - a public good

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- Leverages economics of Internet -- low marginal cost of dissemination
- Expands and accelerates dissemination
- Magnifies benefits of innovation
 - Economic (e.g., prosperity)
 - Social (e.g., health)
- Open access leverages return on investment
- Benefits far outweigh dislocations



Impetus for change

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*Why
open
access?*

**Societal Benefits
Develop Public Policy**



**SCHOLARLY
COMMUNICATION SYSTEM**



**Market Forces
Grassroots Efforts**

*How
open
access?*



Taxpayer access

Credit Suisse First Boston:

- “[W]e would expect governments (and taxpayers) to examine the fact that they are essentially funding the same purchase three times: governments and taxpayers fund most academic research, pay the salaries of the academics who undertake the peer review process and fund the libraries that buy the output, without receiving a penny in exchange from the publishers for producing and reviewing the content....
- “We do not see this as sustainable in the long term, given pressure on university and government budgets.”

–*Sector Review: Scientific, Technical and Medical Publishing,*
April 6, 2004



Taxpayer access

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THE ALLIANCE FOR TAXPAYER ACCESS



member



media

birds
of a
feather



Action

Watch for opportunities or recent progress involving:

- [U.S. Congress](#)
- [NIH](#)
- [ATA](#)
- [You](#)

News

These sources will keep you updated on the latest developments related to taxpayer access:

- [SPARC Open Access Newsletter](#)
- [Open Access News blog](#)

A diverse and growing alliance of organizations representing taxpayers, patients, physicians, researchers, and institutions that support open public access to taxpayer-funded research.

Statement of Principles:

1. American taxpayers are entitled to open access on the Internet to the peer-reviewed scientific articles on research funded by the U.S. Government.
2. Widespread access to the information contained in these articles is an essential, inseparable component of our nation's investment in science.
3. This and other scientific information should be shared in cost-effective ways that take advantage of the Internet, stimulate further discovery and innovation, and advance the translation of this knowledge into public benefits.
4. Enhanced access to and expanded sharing of information will lead to usage by millions of scientists, professionals, and individuals, and will deliver an accelerated return on the taxpayers' investment.

What is "Taxpayer Access"?

Access to scientific and medical publications has lagged behind the wide reach of the Internet into U.S. homes and institutions. Subscription barriers limit U.S. taxpayer access to research that has been paid for with public funds.

Taxpayer access removes these barriers by making the peer-reviewed results of taxpayer-funded research available online, and for no extra charge to the American public.

To achieve this, the ATA supports applying the developing practices of Open Access as defined by the [Budapest Open Access Initiative](#) in February 2002.



Emerging policies

- First salvo: The Sabo Bill, or the “Public Access to Science Act” - June, 2003
 - “U.S. **government-funded research** belongs to, and **should be freely available** to, every person in the U.S.”
 - “...any Department or Agency should make every effort to develop and support mechanisms for making the published **results of research...freely and easily available** to the scientific community, the private sector, physicians and **the public.**”



Emerging policies

- NIH Public Access Policy (FY05)
Appropriations Committee Report Language -
June, 2004
 - “The (U.S. House of Representatives Appropriation’s) Committee is concerned that there is **insufficient public access** to reports and data resulting from NIH-funded research.”
 - “....**contrary to the best interests** of the U.S. **taxpayers** who paid for this research.”



Emerging policies - draft legislation underway

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- CURES Legislation - (slated for Fall 2005 introduction) U.S. Senate
 - Focus on accelerating translation of research into medical cures through **removal of barriers** - including **access barriers** for all researchers and the public.
- Public Access Across Agencies - (slated for October 2005 introduction - (U.S. Senate)
 - Focus on **public access to research results** across **all** major U.S. science agencies



Common themes in policies

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- Right of public to have access to results of taxpayer funded research
- Create useful, long-term archive of federally funded material
- Accelerate pace of research; stimulate discovery and innovation
- Leverage the return on taxpayer investment
- Promote the advancement of science



Policies under development

For more information on progress of these (and other) emerging Open Access policies in the U.S., please see:

www.arl.org/sparc/soa

www.taxpayeraccess.org

www.earlham.edu/~peters/fos/fosblog.html

www.nih.gov/about/publicaccess/