Public Access Policy Mandates & How Publishers Are Responding

2016 CSE Annual Meeting

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May 16, 2016
"As administrators, we are drowning in compliance."

University of Cambridge
Office of Scholarly Communication
At Least 764 Access Policies to Track
Less than 25% compliance across institutions*

<table>
<thead>
<tr>
<th>POLICY MAKER TYPE</th>
<th>NUMBER OF KNOWN POLICIES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Funder</td>
<td>79</td>
</tr>
<tr>
<td>Funder and Research Organization</td>
<td>53</td>
</tr>
<tr>
<td>Multiple Research Organizations</td>
<td>9</td>
</tr>
<tr>
<td>Research Organization (e.g., University or Research Institution)</td>
<td>553</td>
</tr>
<tr>
<td>Sub-unit of Research Organization (e.g., Department, Faculty, or School)</td>
<td>70</td>
</tr>
<tr>
<td><strong>Total Known Policies</strong></td>
<td><strong>764</strong></td>
</tr>
</tbody>
</table>

Numbers via ROARMAP 05/05/16

http://www.pasteur4oa.eu/news/109#.VVoGY6Zid4c
The Hidden Costs of Compliance

• UK administrative costs of £9.2M to achieve 20-30% compliance levels for 1 policy for less than 6% of the world’s literature
Global approach to open access

North America and Canada
- US Federal Agencies formulating policies following OSTP memo
e.g.
  - NIH: gold or green; deposit to PMC within 12 months
  - DOE: green (or gold); public access within 12 months via PAGES and CHORUS
  - NSF: gold or green; public access within 12 months
  - CHORUS working with DOD, DOE, NSF, etc.
- Canada active in OA discussions and looking at gold and green
- Tri-Agency policy: gold or 12 month deposit mandate
- Gates Foundation: gold open access

Europe
- UK funder mandates focused on gold (Research Councils UK & Wellcome Trust)
- VSNU driving expansion in gold open access
- Green open access mandates in Italy & Spain
- All EU members formulating open access policies at either national, funder or institutional level.

Latin America
- Focus on green open access
- Argentina: MINCYT introduced 6 month deposit mandate
- Brazil: Government formulating green open access policy
- Mexico: OA legislation passed to support repository development

Africa
- Developing repositories
- Publishers enabling philanthropic access
- New open access journals to support local research needs
- Some institutions have open access mandates, but no policies from any funders or Governments

Asia Pacific
- China: CAS & NSF; gold or green open access, deposit within 12 months
- ARC & NHMRC in Australia have 12 month self-archive mandate, as does A*Star in Singapore
- Other funders considering policy

Slide courtesy of Alicia Wise, Elsevier, with slight adaptations.
## ACS Journals Compliance

### Biochemistry

<table>
<thead>
<tr>
<th>Year</th>
<th>NIH-funded</th>
<th>In PMC</th>
<th>Author Manuscripts</th>
<th>Final Published</th>
<th>Overall Compliance Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>2013 (B&amp;D)</td>
<td>537</td>
<td>482</td>
<td>464</td>
<td>18</td>
<td>90%</td>
</tr>
<tr>
<td>2014 (A)</td>
<td>450</td>
<td>420</td>
<td>25</td>
<td>425</td>
<td>93%</td>
</tr>
<tr>
<td>2015 (B&amp;C)</td>
<td>328</td>
<td>185</td>
<td>108</td>
<td>77</td>
<td>56%</td>
</tr>
</tbody>
</table>

### J Med Chem

<table>
<thead>
<tr>
<th>Year</th>
<th>NIH-funded</th>
<th>In PMC</th>
<th>Author Manuscripts</th>
<th>Final Published</th>
<th>Overall Compliance Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>2013 (B&amp;D)</td>
<td>242</td>
<td>219</td>
<td>210</td>
<td>9</td>
<td>90%</td>
</tr>
<tr>
<td>2014 (A)</td>
<td>226</td>
<td>207</td>
<td>22</td>
<td>185</td>
<td>92%</td>
</tr>
<tr>
<td>2015 (B&amp;C)</td>
<td>150</td>
<td>84</td>
<td>52</td>
<td>32</td>
<td>56%</td>
</tr>
</tbody>
</table>

### J Am Chem Soc

<table>
<thead>
<tr>
<th>Year</th>
<th>NIH-funded</th>
<th>In PMC</th>
<th>Author Manuscripts</th>
<th>Final Published</th>
<th>Overall Compliance Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>2013 (B&amp;D)</td>
<td>647</td>
<td>593</td>
<td>567</td>
<td>26</td>
<td>92%</td>
</tr>
<tr>
<td>2014 (A)</td>
<td>575</td>
<td>541</td>
<td>50</td>
<td>491</td>
<td>94%</td>
</tr>
<tr>
<td>2015 (B&amp;C)</td>
<td>428</td>
<td>247</td>
<td>157</td>
<td>90</td>
<td>57%</td>
</tr>
</tbody>
</table>

### High impact clinical journal

<table>
<thead>
<tr>
<th>Year</th>
<th>NIH-funded</th>
<th>In PMC</th>
<th>Author Manuscripts</th>
<th>Final Published</th>
<th>Overall Compliance Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>2013 (C)</td>
<td>170</td>
<td>130</td>
<td>130</td>
<td>0</td>
<td>76%</td>
</tr>
<tr>
<td>2014 (C)</td>
<td>177</td>
<td>125</td>
<td>125</td>
<td>0</td>
<td>71%</td>
</tr>
<tr>
<td>2015 (C)</td>
<td>147</td>
<td>56</td>
<td>56</td>
<td>0</td>
<td>38%</td>
</tr>
</tbody>
</table>

Slide adapted from Neil Thakur, NIH
Big data is data that exceeds the processing capacity of conventional database systems. The data is too big, moves too fast, or doesn’t fit the strictures of your database architectures. To gain value from this data, you must choose an alternative way to process it.

Edd Dumbill 2012

https://www.oreilly.com/ideas/what-is-big-data
Automation Through PIDs
OSTP Memorandum

Relevant Funding Agencies

Relationship with CHORUS

Signed agreement:
- Department of Energy (DOE)
- Department of Defense (DOD)
- National Science Foundation (NSF)
- Smithsonian Institute (SI)
- National Institute of Standards and Technology (NIST/DOC)
- United States Geological Survey (USGS)

Favorable mention:
- National Oceanic and Atmospheric Administrations (NOAA/DOC)
- United States Department of Agriculture (USDA)

Ongoing discussions:
- All other agencies

Initial solution

Institutional Repository
- Department of Education (ED) ERIC Repository
- Department of Transportation (DOT) NTL Repository
- National Center for Atmospheric Research (NCAR) OpenSky repository

PUBMED CENTRAL
- Department of Health and Human Services (DHHS)
  (includes AHRQ, ASPR, CDC, FDA, NIH)
- National Aeronautics and Space Administration (NASA)
- US Department of Veterans Affairs (VA)
- National Institute of Standards and Technology (NIST/DOC)

6 agencies with no formal plan yet announced
• CHORUS advances sustainable, cost-effective public access to articles reporting on funded research in ways that benefit all in the scholarly communications community.

• 501(c)(3) not-for-profit membership organization

• Maximizes interoperability by employing widely used standards and infrastructure

• Policy agnostic – works across a spectrum of funder policies, gold and green OA business models, publishing platforms

• Broadens the dialogue among publishers, societies, funders, service providers, researchers, and other stakeholders
How CHORUS Works: Identification

Built into the author’s submission process
How CHORUS Works: Access

Embargo Period Expires
or Author/Funder Pays for Public Access

Accepted Author Manuscript becomes publicly accessible

Version of Record becomes publicly accessible
How CHORUS Works:
Discovery and Preservation

Discovery

Preservation

Government maintained or other 3rd-party dark archive
How CHORUS Works: Compliance

API and dashboards for monitoring and tracking publisher contributions to CHORUS

Live dashboard: dashboard.chorusaccess.org/nsf
<table>
<thead>
<tr>
<th>DOIs / Articles</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>220,577</td>
<td>reported in CHORUS Dashboard</td>
</tr>
<tr>
<td>48,227</td>
<td>verified publicly accessible today</td>
</tr>
</tbody>
</table>

![Graph showing the number of DOIs and verified publicly accessible articles over time.](image-url)
Access Alone Is Not Enough

Discovery and Access in Light of the Ebola Outbreak

POSTED BY ROGER C. SCHONFELD • APR 30, 2015 • 9 COMMENTS

FILED UNDER ACCESS, DISCOVERY, EBOLA, GOOGLE, GOOGLE SCHOLAR, HINARI, LIBERIA, PUBLMED, RESEARCH\LIFE

Over the past few weeks, there has been an interesting set of discussions about whether the Liberian part of the Ebola outbreak this winter was foretold and therefore could have been stopped earlier. Writing an op-ed in the New York Times, several researchers noted that they recently “stumbled across” an article indicating the reasonable likelihood that Liberia would be faced with cases of Ebola, which turned out to have been one of several studies predicting Liberia being in the zone of likely exposure for the virus. Public health officials had not acted on this known likelihood. The question is why.
Thank You!

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