

Open Access: Current Status, AAS Perspectives

Kevin B. Marvel

Executive Officer

American Astronomical Society

Current Status

- Various proposals for Open Access have appeared in legislation since 2000
- In 2004, Pub Med Central begins & many publishers, especially non-profit, endorse 12 month delayed access policy proposed by NIH
- In 2009, the US Congress, via the House Science Committee sponsored a Roundtable discussion on Open Access (details to follow)
- The US President, via the Office of Science and Technology Policy, as a partial fulfillment of his open government campaign promises, issues a call for comments on some specific issues in late 2009.

Current Status

- In late January 2010, the Roundtable report is issued and comments submitted to OSTP
- Sometime this year the OSTP will issue a “Proposed Rulemaking”, based on comments received during their call for input

Common Ground

- Economic pressures apply to all.
- Scholarly publications are essential to science and scholarship.
- Disruptive and unsustainable transitions in the business models could disrupt scholarship.
- Polarization prevents solutions.
- Government could be a valuable partner.

Based in part on a presentation by Fred Dylla, Roundtable member and AIP CEO and used with permission.

Scholarly Publishing Roundtable

- Convened by the Committee on Science and Technology of the United States House of Representatives, in coordination with the White House Office of Science and Technology Policy (OSTP)
- “to explore and develop an appropriate consensus regarding access to and preservation of federally funded research information that addresses the needs of all interested parties.”

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Roundtable Composition

- Academic administration (three provosts and an association executive)
- Academic libraries (three librarians)
- Publishers of scientific journals (two from learned societies, one from an established commercial publisher with diverse business models, and one from an innovative and successful open access start-up)
- Researchers in the domains of library and information science (three)

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Roundtable Rules

- Participate as knowledgeable individuals, not as official representatives of organizations
- Refrain from public disclosure of deliberations

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Roundtable Shared Principles

- **Peer review** must continue its critical role in maintaining high quality and editorial integrity.
- **Adaptable business models** will be necessary to sustain the enterprise in an evolving landscape.
- **Scholarly and scientific publications can and should be more broadly accessible** with improved functionality to a wider public and the research community.

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Shared Principles

- Sustained **archiving and preservation** are essential complements to reliable publishing methods.
- The results of research need to be published and maintained in ways that maximize the possibilities for **creative reuse** and **interoperation** among sites that host them.

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Core Recommendations

- Government to develop public access policies
- Expeditious but cautious approach
- Free public access—the desired outcome
- When? ASAP after publication

Specifics

- No specific regulatory or legislative solution
- Consultative process
- Field-dependent, agency-specific embargo periods
- Flexibility
- Balance
- Interoperability
- Version of Record (VoR)

Achieving Balance

- Validating the need for and potential of increased access to scholarly articles
- Preserving the essential functions of scholarly publishing
- Recognizing and considering interests of all stakeholders
- Urging collaboration among all involved
- Validating government's role as a partner

Measured Reactions

Most stakeholders

- Have respect for the approach
- Support the general principles
- Support the recommended consultative process

Societies and for-profit publishers

- Reservations about property and copyright issues and government intervention

Advocates of a legislative mandate

- Disappointment because no specific recommendation was provided

Next Steps

- OSTP Rulemaking
 - A notice will be published in the Federal Register
 - 60 days will be provided for public comment
 - 30 additional days for reply comments (and new original comments)
 - Rulemakings are often preceded by a notice of inquiry
 - Not clear if the call for comments in January counted as an NOI or not, but likely it does
 - Designed to allow agencies to craft a better draft rule
 - A Rulemaking could be followed by a further notice of proposed rulemaking if the submitted comments require a drastic change to the proposed rule and the process repeats
 - Eventually a rule will be published in the Federal Register as a report and order (R&O), which stands as a valid regulation unless challenged in court
 - R&O can be amended with a second (or more) R&O's

Next Steps

- Timing
 - OSTP says they received many serious comments and need time to assess them all
 - Given other issues before OSTP, I do not expect any action before June and would not be surprised if nothing happened until September
 - Any rule would then be issued late in 2010 or early 2011 and may not take effect until the next fiscal year begins in September 2011

AAS Perspectives

- As of 1 April 2010, 110,000 articles have appeared in AAS journals, 102,000 are available free
- AAS has delayed open access of 24 months for its scientific journals, AER is open access
- Electronic articles are hosted by our vendors, AIP and IOP and linked to by ADS. Backfile scans are hosted by ADS.
- DOIs and metadata have been indexed for all articles

AAS Copyright

- Maintained for all articles
 - Free to read does not mean free to redistribute or reuse
 - By maintaining copyright, the Society can ensure the general use of articles in perpetuity...key point
- Substantial rights granted to authors
 - Right to grant or refuse permission for third party republication
 - Right to use all or part of the article in future and derivative works of their own
 - Right to make copies of all or part of the article for use for educational or research purposes
 - Right to place article, in published form on their own or their institution's web pages

AAS Business Model

- Focused on key stakeholders
 - Scholars/authors
 - Librarians/readers
- Authors pay for
 - Peer review
 - Production
 - Archiving
 - Technology Development
- Librarians/Readers pay for
 - Publication and dissemination/distribution
 - DOI assignment/Archiving

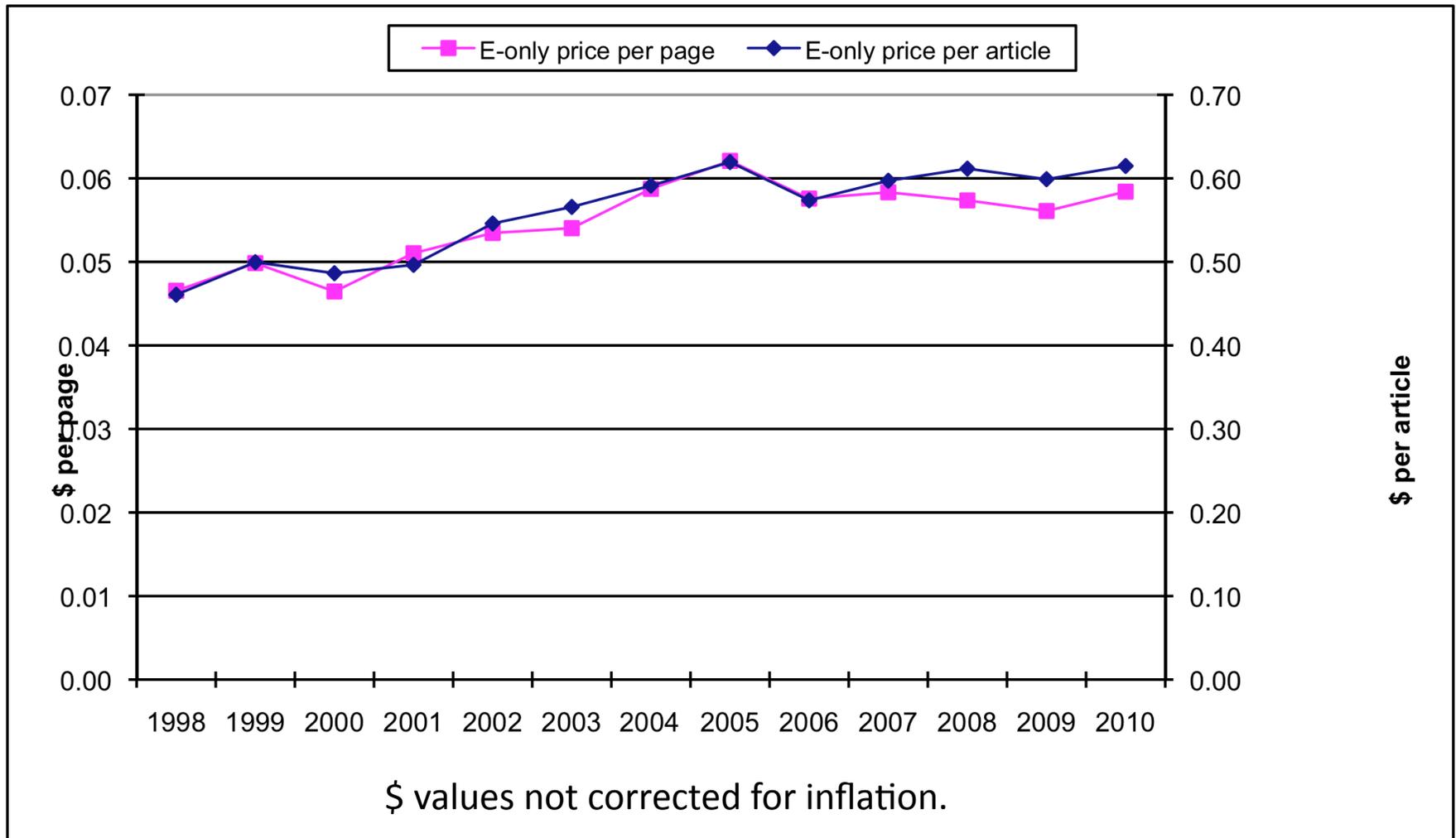
AAS on Open Access

- Not against Open Access, but concerned
 - Our business model is robust, fair, open and rational
 - It is also distributed in that it does not depend entirely on one funding source and shares costs appropriately
- Concerns
 - ~ 60% of published articles are from overseas, mandated US Open Access would set up two classes of author and two classes of papers
 - Dependence on the US Federal Government for funding is inherently risky, changes can and do happen on an annual basis

Key Points Submitted to OSTP

- Proprietary period, even short, acknowledges the value and importance for the publishing process
- Version of record should be the version made public
- Any repositories that the US Government endorses should be capable of delivering complex digital research reports
- 12 month proprietary period is likely achievable under the AAS model without much financial risk

AAS Value to Subscribers



Note: about 60% of AAS journal revenues is derived from author charges.

Roundtable Website

- http://www.aau.edu/policy/scholarly_publishing_roundtable.aspx?id=6894

Public Access Debate

Pro Voices

- Taxpayer pays [*for research*], taxpayer should have access [*to results*]
- Access furthers innovation, science, public health, and economic development
- Access ensures accountability and transparency
- Access supports the goals of researchers to be known, read and cited

Public Access Debate

Cautionary Voices

- Mandated access could have a negative effect on the health and sustainability of scholarly publications
- Peer review, quality, stability of the current system are potential casualties
- Academic freedom to publish curtailed
- Government intervention and unfunded mandates

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Voices of Reason

- IFLA /IPA joint statement on open access
- “Chicago Collaborative,” between medical publishers and libraries
- EU-funded PEER Project
- The Scholarly Publishing Roundtable on public access policies

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