

Open Access: Overview of Current U.S. Policy Activities

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Recognition of Problem...

- Dissemination of results is an essential component of research and of the Public's investment in science. Funders obtain **value** from their investment **only** when results are **used**.
- Yet too often, the research funded by public institutions is **not widely available**.
- This works against the public interest since **federally funded research is not being fully used and applied**.

...and of Opportunity

Governments would **boost innovation** and **get a better return on their investment** in publicly funded research by making research findings more widely available.... And by doing so, they would maximize social returns on public investments.”

-- International Organization for Economic Cooperation and Development, Report on scientific publishing, 2005

Why Does the Government Fund Research?



Actually, the Public Funds It



U.S. NIH Public Access Policy

“The Director of the National Institutes of Health shall require that all investigators funded by the NIH submit or have submitted for them to the National Library of Medicine's PubMed Central an electronic version of their final, peer-reviewed manuscripts upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication.”

- U.S. Consolidated Appropriations Act of 2008

NIH Public Access Policy Result

- Enacted April 2008
- Over 2 million full text articles now available via PubMed Central
- ~420,000 unique users per day
- 99% articles downloaded at least once
- 25% university users, 40% citizens, 17% companies, remainder government or others



Free Access to U.S. Research Papers Could Yield \$1 Billion in Benefits

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A new economic analysis finds that making taxpayer-funded scientific papers freely available would yield more than \$1 billion in benefits to the U.S. economy over 30 years—five times the costs of archiving the papers.

A team led by John Houghton, an economist at Victoria University in Melbourne, Australia, examined the potential payoff of expanding a National Institutes of Health (NIH) policy requiring grantees to post their peer-reviewed manuscripts in a free database after a delay. A [proposal in Congress](#) would extend the policy to 11 more research agencies and shorten NIH's 12-month delay to 6 months. Supporters say taxpayers should have free access to the results of research they paid for; publishers worry that they will be put out of business.

Expansion of Public Access Policies Under Active Consideration

- Legislative Branch (U.S. Congress)
- Executive Branch (White House offices)
- Individual Government Agencies

Legislative Activities (U.S. Congress)

- **America COMPETES Act (2010)** - focuses on interagency process to coordinate PA policies
- **Federal Research Public Access Act (2010)** - Requires agencies to implement homogenous PA policies - prescriptive
- **Fair Copyright in Research Works Act (2008)** – amend U.S. Copyright Code to prohibit PA policies

“The open access movement is one of the single most important initiatives currently underway within the scientific community.”

-Sir Richard Roberts

1993 Nobel Laureate for Medicine or Physiology



Office of Science and Technology Policy

OSTP Public Access Policy Forum

Currently, the National Institutes of Health requires that the published results of research funded by its grants be made available to the public online at no charge within 12 months of publication. The Office of Science and Technology Policy and the [White House Open Government Initiative](#) launched the "Public Access Policy Forum" to invite public participation in thinking through what the Federal government's policy should be with regard to access to published research results from studies funded by other Federal agencies. (For full details, see the [Federal Register notice](#)). To that end, OSTP conducted an interactive, online discussion that began Thursday, December 10, 2009, which focused on three major areas of interest:

- Implementation (Dec. 10 to 20)
- Features and Technology (Dec. 21 to Dec 31)
- Management (Jan. 1 to Jan. 7)

Due to a high number of requests, the Forum was extended; all three phases of the Forum remained open through Jan. 21, 2010.

OSTP is now analyzing the input from this Forum and will provide periodic

Executive Branch Activities

- “Request for Public Information” (RFI) process initiated by White House Office of Science and Technology Policy (OSTP) in 2010
 - Traditional Federal Register Process
 - 3-part Blog Discussion on policy implementation, technology and management/evaluation
- Thousands of comments received/processed
- Report/Recommendation anticipated shortly

Individual U.S. Federal Agencies

- National Center for Atmospheric Research (NCAR) – active policy (2009)
- U.S. Department of Education – Institute of Educational Research – active policy (2009)
- Ongoing conversations at National Science Foundation (incl. data policies), Department of Energy, and many other science agencies

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“In an historic vote, the Faculty of Arts and Sciences moved to make the articles that its members publish in scholarly journals freely available to anyone.....” www.arl.org/sparc

Institutional/Local Policies

- Harvard, MIT, Univ. of Kansas – first movers; Liberal arts colleges quick to adopt (Trinity, Oberlin, Rollins)
 - Recent poll of Oberlin group members indicates >75% in process of developing OA Policies
- Policies based on rights retention
 - Non-exclusive, worldwide distribution license retained by institution; deposit/access in digital repository

Emerging Trends

- Level of awareness of policy makers growing quickly
- National/community discussions growing in frequency; data access often included
- Number of proposed National policies proliferating
- “Will to Act” increasing as results from active policies becomes available

Emerging Trends

- Cultural resistance/inertia beginning to soften in many disciplines
- Awareness among research/scholarly community rising – but SLOWLY
- Need for incentives increasingly clear
- Counter-pressure from industry not abating
- Coalition supporting OA Policies growing



OPEN ACCESS WEEK 2010

“Open access serves scholarly communication by: facilitating text-mining; data and literature integration; and creation of co-laboratories that integrate the scholarly literature directly into knowledge creation and analysis environments...

It also honors our commitment to the democratization of teaching, learning, scholarship, and access to knowledge throughout our society.”

- Clifford Lynch, ARL/CNI/SPARC Public Access Forum, 10/20/06

OPEN  ACCESS

Thank you.

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