

Implications of CIHR Policy for CARL Members : A presentation on behalf of the CARL
IR Working Group
By Carol Hixson

Slide 1

This presentation will present some facts, quickly review the landscape, introduce some ideas to fuel discussion.

Slide 2

The content of this presentation is largely the work of Kathleen Shearer and can be found in the paper she has handed out for this program. Without Kathleen's contributions, the CARL IR Working Group would have accomplished significantly less to date. I also want to acknowledge the rest of the Working Group.

The idea of this presentation is to give you some facts and some food for thought, ideas to fuel discussion about directions CARL might take.

Slide 3

As you know, on January 1, 2008, the 'CIHR Policy on Access to Research Outputs' came into effect.

The policy states that, "Grant recipients are now required to make every effort to ensure that their peer-reviewed publications are freely accessible through the Publisher's website (Option #1) or an online repository as soon as possible and in any event within six months of publication (Option #2)." The policy is mandatory but includes an exception for those who are publishing in subscription-based journals with no self-archiving policies. "Publications must be freely accessible within six months of publication, where allowable and in accordance with publisher policies."

Slide 4

Libraries were among the first to recognize the benefits of open access and have been strong advocates for change. CARL participated in CIHR consultations as part of the policy development process, and called for a strong policy on open access. Now that the policy has come into effect, libraries are well placed to assist with its successful implementation. It should also be noted that libraries and institutions also stand to benefit from the CIHR policy, as it will provide a much needed incentive for researchers to archive their work.

Slide 5

Investing in repositories- Most CARL members maintain an institutional repository (22 of 27 academic members and CISTI and 4 more are in development), but rates of deposit have generally been quite low to date. This could change if CARL libraries actively respond to the CIHR policy. Already, health libraries and institutional repository managers report that they are receiving enquiries from Canadian researchers about the CIHR policy.

One issue of concern is that staff resources are small - 2007 survey found average staffing for an IR was .5FTE

If we promote this, we need to be prepared to invest staff and other resources into making it a viable service.

Slide 6

CIHR is working with CISTI to develop 'PMC Canada', a mirror site for PubMed Central in the US, which will enable CIHR-funded researchers to deposit their journal articles in a central repository. However, a number of large journal publishers do not allow deposit in PMC, but do allow deposit into IRs.

Kathleen's paper reports on an analysis of journal policies undertaken in order to gain a better understanding of what volume of CIHR funded research articles could be expected to be made available through the various channels (PMC, IRs, Open Access journals).

Slide 7

Kathleen undertook a review of journal open access policies in March 2008. The review looked at the top 100 journals published in by Canadian authors (as measured by number of papers), in the subject areas funded by CIHR as identified through the ISI Web of Science.

To determine if a journal was open access, each title was searched in the Directory of Open Access Journals, the PMC Journal List and by visiting the journal website. For journals that were found to be subscription based journals, the SHERPA-ROMEO “Publisher Copyright Policies and Self Archiving” database was consulted to ascertain the journals policy on posting articles in an open access repository.

Slide 8

Results

The 100 journals represented 11,162 articles, approximately 30% of the total articles in the subject areas published by Canadian authors in 2007 and listed in ISI Web of Science. The table presents the results of the review.

81% of the journals reviewed (representing 78% of the articles) offered some type of open access option. 15% of the articles were published in open access journals. 29% of the journals allowed deposit in PMC, representing 3192 articles. 33% of journals did not allow archiving in PMC, representing almost 3085 articles. In a few cases, no policy was found and these journals were assumed to have no self-archiving policy, and not allow depositing in a repository.

Unfortunately CIHR has no estimate of the publication output of its researchers. However, if CIHR funding has contributed to half of the total journal publications by Canadian researchers in these subject areas, this would be about 15,000 journal articles per year.[1] If the analysis above is representative, then about 25-30% of those articles can be deposited in IRs, but not PMC, representing somewhere around 4,000 articles per year.

Furthermore, most of the 28% of articles that can be deposited in PMC, can also be deposited into an institutional repository, representing another 4,000 articles.

While the proportions of articles that can legally be made open access found in this review may be slightly high, given that smaller journals (publishing fewer articles) are slightly less likely to have a 'self-archiving' policy, the implication is that a large number of research articles that should become freely available if the CIHR policy is successful.

[1] This number is less than 50% of the 33,000 journal articles published by Canadian researchers in the ISI Web of Science in subject areas that would fall within the scope of CIHR funding.

[1] Many journals allow self-archiving and also have a paid OA option. These are not included in this figure.

Slide 9

What can we do – talk to others on campus.

Slide 10

A technical development that could prove useful in the work between CARL and CIHR/CISTI is SWORD. In Beta testing at variety of installations using various software. It has been tested and it works. Support for technical implementation within CARL IRs and PMC Canada could be groundbreaking.

Slide 11

A host of technical developments were showcased at the OR2008 meeting in April.

The 3rd annual Open repositories conference in Southampton England April 1-4 brought together technical wizards, repository managers, software developers and users from around the world in support of open access. Keynote address by Peter Murray Rust (pictured here) explored the role of repositories in storing scientific research data.

Carl Lagoze and others presented the next iteration of OAI, moving from OAI-PMH to OAI-ORE, which is the Open Archives Initiative - Object Reuse and Exchange protocol. The best thing about this meeting was that it was software-independent and brought developers and practitioners using a wide variety of software options together in service to the open access model.

CARL members should be present at such international meetings to keep up, show our interest, and contribute our ideas and solutions.

Slide 12

Building value added services-

Clifford Lynch has defined an institutional repository as “a set of services that a university offers to the members of its community for the management and dissemination of digital materials created by the institution and its community members.” He notes that it is also “most essentially an organizational commitment to the stewardship of these digital materials, including long-term preservation where appropriate, as well as organization and access or distribution.”

If we as CARL members take on the challenge of supporting the CIHR policy, we must be prepared to provide services to our communities.

Institutional repositories have the potential to provide valuable services for many communities, besides the obvious one of providing free access to content for users. IRs can serve as an instrument for tracking and showcasing the output of a university community. Because IRs are interoperable, they could also provide meaningful performance indicators for funding agencies. In order to actualize the full benefits of IRs, it would be in CARL’s interest (in consultation with user communities) to developing service models that reflect the variety of uses of IR content by diverse communities.

Slide 13

Support for authors- Understanding publisher editorial policies, even with the help of the SHERPA-ROMEO list can be difficult, especially for authors who may not be familiar with the terminology. Publisher policies differ in a number of ways: Embargo periods (from none to twelve months); Version of article that can be posted (pre-print, post-print, publishers copy); where the copy can be archived (authors website, institution website, institutional repository, PubMed Central, any disciplinary repository, non-commercial repository, and so on); and other conditions of archiving (linking to original, acknowledgement of published source, etc.).

Furthermore, these policies are not static and tend to change as a result of new events (for example, a number of publishers have amended their policies since the release of the NIH policy) Librarians could provide greatly needed support for authors in understanding the details of publishing policies; or perhaps even collaborating on the maintenance of a list of journals- instructing authors of those journals in what they must do to the CIHR policy.

Slide 14

Depositing services- Author archiving does not require a lot of time once an author is familiar with the process, however, an important barrier to author archiving is the perceived time required and possible technical difficulties. There are a variety of services aimed at reducing the workload for authors when depositing content. The idea being that the easier it is for academics or departments to add content, the more likely they are to do so. The most common of these types of services are copyright checking activities, metadata assignment, and library depositing of content. One example is the services offered by Edinburgh University Library, for example. They provide a 'Mediated Deposit Service' to help authors deposit their work. The service allows authors to simply e-mail their content to the library and library staff will then deposit the material on their behalf. CARL members could consider working with university departments to develop some types of depositing services.

Slide 15

The CARL Harvester is complementary to individual IRs and the dual deposit model that is being considered through CISTI.

Slide 16

A central repository- In Canada, as elsewhere, not all academic libraries have implemented an institutional repository. As well, there are CIHR funded researchers who are not affiliated with a large library or academic institution. Thus there are gaps in the repository infrastructure. To address this, other nations have developed a single repository that is available for use by researchers who do not have their own institutional repository.

The Depot is one example. The purpose of the Depot is to enable all UK academics to share in the benefits of open access exposure for their research outputs. As part of JISC RepositoryNet, the Depot is provided as a national facility geared to support the policies of UK universities and national funding agencies towards Open Access, aiding policy development in advance of a comprehensive institutional archive network.

The Depot offers the following features:

a re-direct service, nicknamed UK Repository Junction, to ensure that content that comes within the remit of an existing institutional repository is correctly placed.

accepts deposit of e-prints from researchers at institutions that do not currently have an Institutional Repository (IR). The principal target is postprints, that is articles that have been peer-reviewed and accepted for publication.

Slide 17

The Intute project searches across 83 academic research repositories in the UK.

Commissioned by JISC in partnership with UKOLN and SHERPA, the project will run

until July 09 and in the initial phase will deliver a content-related search facility for UK institutional repositories.

Slide 18

EThOS is another JISC funded project that focuses on electronic theses produced in the UK. These are all examples of directions that we might go in Canada