

## Bibliometric Study 2006

The Wellcome Trust (WT) asked SHERPA to check the open access rights of a large set of WT-funded articles against the SHERPA/RoMEO database (<http://www.sherpa.ac.uk/romeo/>).

### Aims

- ▶ To see the effect of the mandate on OA availability - i.e. *potential* compliance rate
- ▶ To set a benchmark for future studies of post-mandate compliance

### Sample Size

- ▶ 3,766 articles
- ▶ from 901 journals
- ▶ from 233 publishers

## Re-analysis of the dataset 2009

- ▶ More publishers covered by RoMEO
  - Therefore fewer unresolved articles
- ▶ Changes in publishers' policies & options
  - Some articles may have changed category

## The Wellcome Trust Mandate

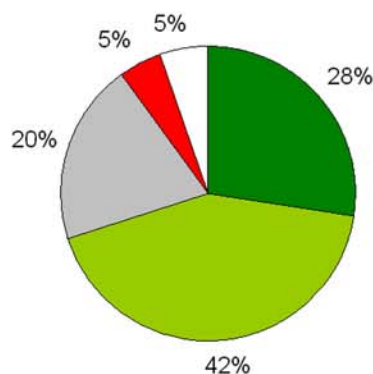
In October 2005, the Wellcome Trust was the first funding body to stipulate that publications generated by the research it funds must be made available free of charge to the public via Open Access. Specifically: WT's grant conditions require papers to be deposited in PubMed Central or UK PubMed Central within 6 months of publication.

WT backed up this policy by providing additional funding to cover the cost of any publishers' "Paid Access" schemes – whereby for a fee, articles are made immediately available Open Access.

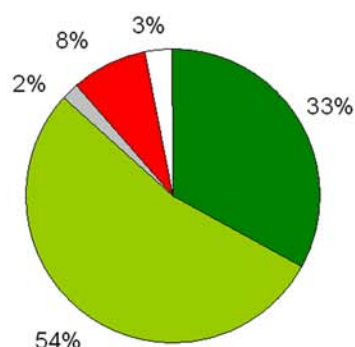
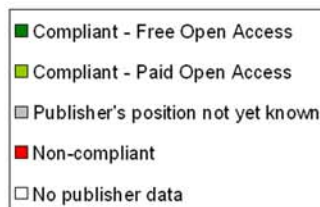
### Methodology

- ▶ Available data
  - Journal titles (abbr.), ISSNs, Publishers (from Ulrich's), etc.
- ▶ Bespoke PHP Program
  - Using Zetoc & RoMEO APIs
  - Entrez lookup to expand abbreviations & get ISSNs
- ▶ Iterative process
  - 7 steps successively checking unresolved items

## Potential OA Compliance of Wellcome Trust Articles



Dec. 2006



May 2009

Total potential compliance rose from 70% to 87%

## A step in the right direction?

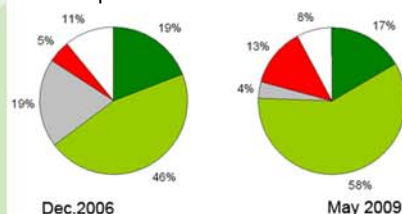
### Funder Trends

- More funders are introducing mandates
- Some funders are backtracking

### Publisher Trends

- More publishers introducing paid OA options
  - or extending existing schemes
- More restrictive (free) self-archiving rights
  - More and/or longer embargos
  - No pre-publication self-archiving of eprints
  - No self-archiving at all
- Is this forcing payment for open access?
  - Facilitating or exploiting funders' mandates?

## Equivalent charts for Journals



Dec. 2006

May 2009

## Compliance & Non-compliance

- ▶ Compliant
  - Compliant – Free Open Access
    - Compliant – without any need for payment
    - Conditionally compliant – without payment
    - Is open access – published in an OA journal
  - Compliant – Paid Open Access
    - Paid OA option – all of publisher's journals
    - Paid OA option – selected journals, of which this is one
- ▶ Non-compliant
  - Non-compliant with the WT mandate
  - Special non-compliant – Paid OA excludes this journal
  - Unacceptable embargo – exceeds the WT max. period
- ▶ Publisher's position not yet known
  - In SHERPA/RoMEO, but no WT Policy
  - Under investigation
- ▶ No publisher data
  - Zetoc publisher issues
  - Unable to find any information for this journal/publisher

## The Bottom Line(s)

- ▶ What is the *actual* OA compliance of WT-funded articles?
  - WT reports compliance rates of ~35% for new articles (Apr. 2009)
  - Rates are increasing now WT has started policing compliance
- ▶ Have any journals been dropped due to non-compliance?
  - Data not yet available (and possibly too early to say)