

# IR also means Institutional Responsibility

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9<sup>th</sup> International Bielefeld Conference  
3-5 February in Bielefeld, Germany

*Eve*



inaugurating the  
A2K movement

*Adam and Eve.* Lucas Cranach the Elder, 1526.  
Courtauld Gallery, London.

# The OA picture



OA means access to:

- research results -> knowledge
- that are peer reviewed, -> quality controlled
- well preserved, -> permanent access
- internet distributed, -> prompt access
- for free reuse -> no access barriers
- with attribution. -> no plagiarism

# Why OA? Functionally



## 1. Corporate Social Responsibility

OA embodies CSR (= the view that socially responsible behavior is rewarding for an enterprise or organisation)

## 2. Citation advantage

OA generates more citations => exposure, status, impact and prestige, showcasing the talents of both author and institution

## 3. Science advancement

**“If I have seen further it is by standing on the shoulders of giants” (Newton)**

Imperative for enhanced publications

## 4. Abuse protection

Plagiarism better detected (see: [detection tools](#));  
copyright piracy non-existent

## 5. Eases reproduction, reduces duplication

Increased transparency of research decisions

# The OA picture



## Actors:

authors -> research results -> knowledge

publishers -> that are peer reviewed, -> quality controlled

national libraries -> well preserved, -> permanent access

OAI repositories -> internet distributed, -> prompt access

institutions -> for free reuse -> no access barriers

`copyrighters` -> with attribution. -> no plagiarism

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## Berlin Declaration, October 2003

*“Our mission of disseminating knowledge is only half complete if the information is not made widely and readily available to society.”*

## EC-petition, February 2007

*“Guarantee public access to publicly-funded research results shortly after publication”*

## European University Association, March 2008

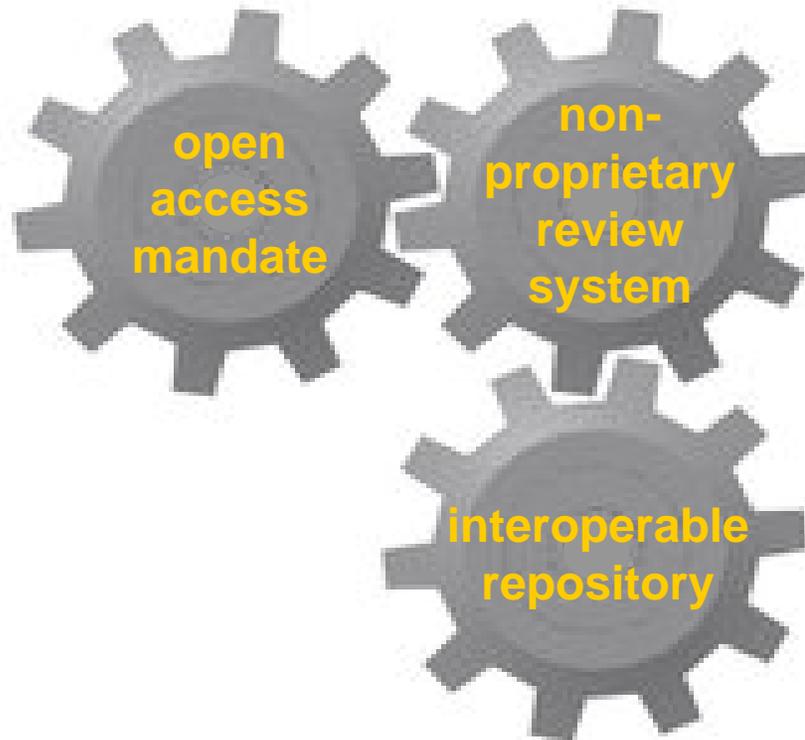
*“Universities should develop institutional policies and strategies that foster the availability of their quality controlled research results for the broadest possible range of users, maximizing their visibility, accessibility and scientific impact.”*

# What is needed?

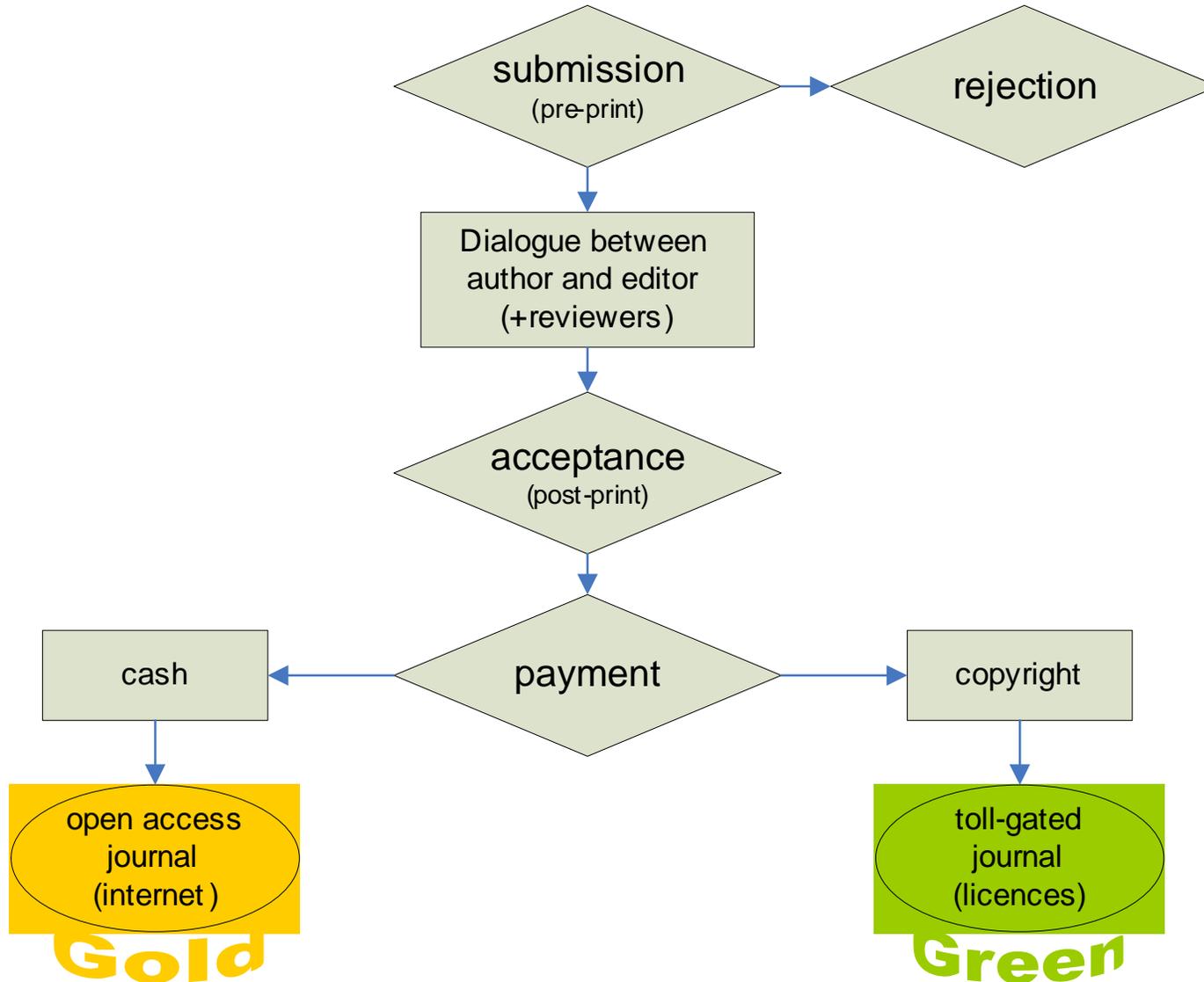


Three publication cog wheels:

- Open Access mandate
- Non-proprietary review system
- Interoperable repository



# Q process



# THE ULTIMATE CONTRACT



Sign on the dotted line!

## ACME CO.

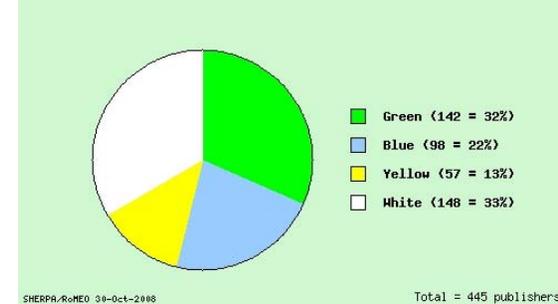
You, [YOUR NAME HERE], hereby grant the entire, complete rights to everything you've ever thought, made, or done to Acme Co. in perpetuity and throughout the Universe; and even if one day they find a door in the Universe that leads to a whole new non-Universe place, or somebody invents a time-stopping machine so that "perpetuity" no longer exists, or everything falls into a black hole and nobody knows which end is up and we're all dead anyway, so who cares—we'll STILL own all those rights, so stop whining, sign or don't sign, but face reality for once in your life, because this is the way the world works, pal.

-----  
YOUR SIGNATURE HERE

What the hell is that?  
I'm going to throw in my report card and find out!  
I dunno

R. Chan

# Copyright combat



A multi-coloured field: [SHERPA/RO-MEO](#)

Main colours:

- white publishers require copyrights allow nothing, never
- yellow publishers require copyrights allow open preprints
- blue publishers require copyrights allow open postprints
- green publishers require copyrights allow open preprints and postprints
- embargo periods and reuse conditions vary greatly
- changes or exceptions can often be negotiated by authors

There are more copyright policies than publishers  
**I n c o m p r e h e n s i b l e t o a u t h o r s !**

# Gold and Green



## Gold

- o Authors retain copyrights
- o Institutes or projects pay for publication fees
- o Immediate open access to published article
- o ~15% of the journals

## Green

- o Publishers get copyrights
- o Institutes pay for subscription or licence fees
- o Delayed access to author manuscripts
- o ~65% of the journals

# The bare bones



**Gold** is the natural result of  
a non-proprietary review system  
without barriers between knowledge creators and users

**Green** is the contrived result of  
a proprietary review system  
with fences, toll gates, embargos and tunnels

*However, no difference in quality control !*

# Why OA? Economically



open access:	subscriptions:
<ul style="list-style-type: none"><li>• publication fees (on average €1300 per article; see <a href="#">price comparison</a>)</li></ul>	<ul style="list-style-type: none"><li>• subscription/licence fees</li><li>• document supply fees (per article: €10 via libraries or €20 via publishers)</li><li>• copyright clearance fees (for use in readers, course packs etc)</li><li>• contractual costs (collection policy, licencing, digital rights management)</li></ul>

# Institute of Social Studies

Established in 1952, the **Institute of Social Studies** in the Hague is an international graduate school with typically 400 students per year. Its research programme results in books, reports and about 60 articles in peer reviewed journals annually. An intangible open access advantage is the free access that ISS alumni, who are often based in developing countries, will have to these articles.

Open Access		Subscriptions	
Publication fees ISS <sup>1</sup>	€ 120,000	Subscriptions & licences	€ 180,000
		Document supply <sup>3</sup> + copyright clearance fees	€ 65,000
Platform or aggregation costs <sup>2</sup>	€ 25,000	Collection management <sup>4</sup>	€ 60,000
	<u>€ 145,000</u>		<u>€ 305,000</u>

1. 60 peer reviewed articles @ 2000. The publication fee is an estimate based on the pricelist published by BioMedCentral. The list refers to STM journals mainly (<http://www.biomedcentral.com/info/authors/apccomparison/>). For social sciences the fees may be lower.

2. ISS assumes that even in a full open access world still some aggregation or platform fees will be needed.

3. Includes out of pocket costs to third parties (other libraries, publishers) and in house handling costs.

4. This is a rough estimate. Includes defining the collection, acquisitions and administration, shielding access and copyright issues.

September 2008.

Michel Wesseling,

Head of the Office of Library and Information Technology Services.

# Utrecht University

Established in 1636, today **Utrecht University** is an internationally renowned top research university with almost 30.000 students and over 8.500 staff. Annually UU publishes 5000 articles in peer reviewed journals; of these 1500 result from externally funded research (figures 2005). Utrecht University is a signatory of the Berlin Declaration on Open Acces.

<b>Open Access</b>		<b>Subscriptions</b>	
Publication fees UU <sup>1</sup>	€ 6,500,000	Subscriptions & licences	€ 4,500,000
		Document supply <sup>3</sup> + copyright clearance fees + collection management <sup>4</sup>	€ 1,000,000
	<u>€ 6,500,000</u>		<u>€ 5,500,000</u>
Publication fees research funders <sup>2</sup>	€ 1,950,000		
Remaining costs UU	<u>€ 4,550,000</u>		

1. 5000 peer reviewed articles @ 1300

2. 1500 peer reviewed articles @ 1300

3. Includes out of pocket costs to third parties (other libraries, publishers) and in house handling costs.

4. Includes defining the collection, acquisitions and administration, shielding access and copyright issues.

September 2008.

Bas Savenije,

University Librarian of Utrecht University

# Macro economics



"Economic implications of alternative scholarly publishing models: Exploring the costs and benefits"

John Houghton, Charles Oppenheim et al., January 2009

From the JISC press release (27 January 2009)

Sir Mark Walport, Director of the Wellcome Trust, commended the report and added that, *"as a research funder that provides additional funds to its grant holders to meet the cost of open access publishing, I am delighted that this report vindicates this approach and shows that the benefits of enhanced accessibility outweigh the costs of supplementing research funds with 'author-pays' open access publishing fees"*.

# OA actors



## Publishers are acting

*Classical commercial publishers favor their golden goose model. However see: BioMed Central + Springer, PLoS, Hindawi, Rockefeller University Press, Bentham Publishers, OASPA ...*

## Authors did act

*They signed massively the PLoS open letter and the EC petition*

## Research funders and universities are acting

*Wellcome Trust, RCUK's, DFG, MPG, CERN, ERC, NIH, Harvard FAS, IRCSET, Harvard Law School, EUROHORCs, U-Helsinki, European Commission FP7 ... (and not to forget: Open Courseware Consortium)*



## Research funders and universities

Wellcome Trust, RCUK's, DFG, MPG, CERN, ERC, NIH,  
Harvard FAS, IRCSET, Harvard Law School,  
EUROHORCs, U-Helsinki, European Commission FP7  
... (and not to forget: Open Courseware Consortium)

See SHERPA/JULIET



# Research funders and universities

E.g the

*European Commission FP7*

# Open Access Pilot in FP7



This Open Access initiative covers 20% of the FP7 budget of €50 billion (2007-2013)  $\approx$  €10 billion  $\approx$  **100.000 peer reviewed articles in 7 years.**

What does the Commission offer?

1. Pay the publication fee for gold open access
2. Offer a fall back pan-European repository for 'orphaned' authors

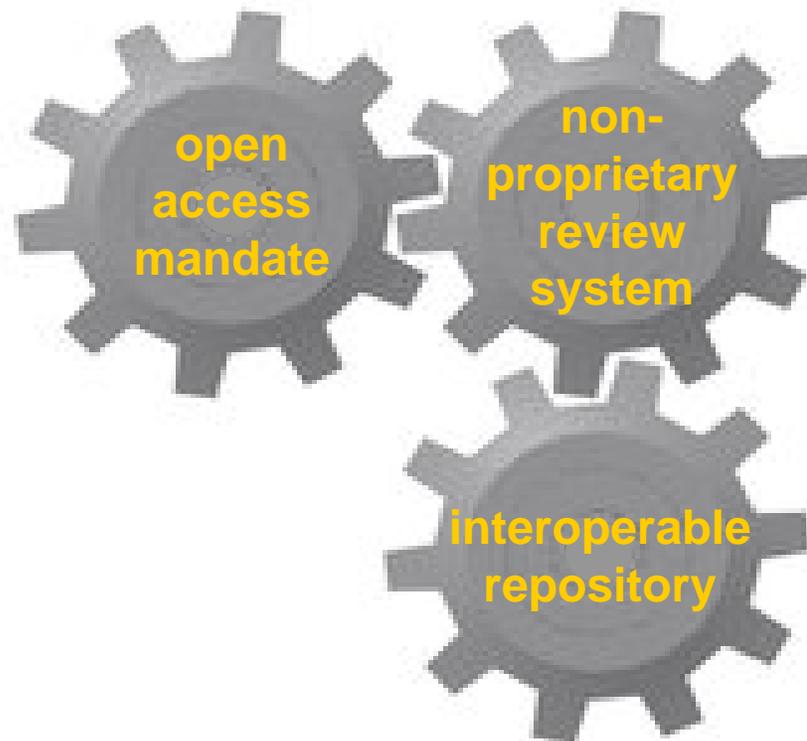
What does the Commission require?

# For 15.000 'gold articles'



the Commission requires that *“researchers deposit and make available their final published articles immediately upon publication”*.

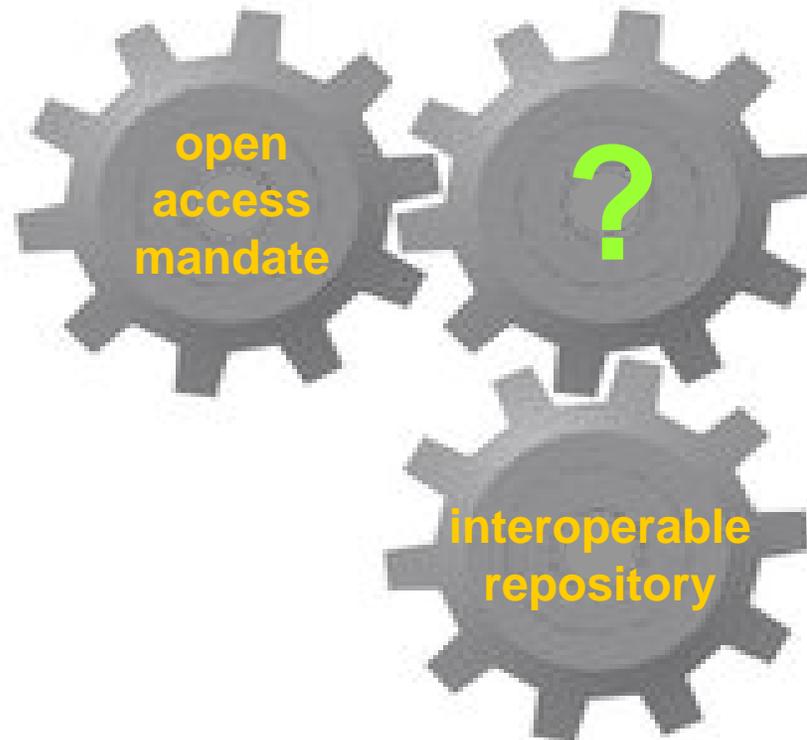
That's easy: the publication machinery is in tact.



# For 85.000 manuscripts



the Commission requires that *“researchers should make their best efforts to negotiate copyright and licensing conditions”* for embargoed access to their manuscripts. That’s unfair: the publication machinery is defect.



# For 85.000 manuscripts



authors have to consult [SHERPA/RoMEO](#) and discover that

- white publishers allow nothing, never: 20.000 m.scripts
- yellow publishers allow open preprints: 10.000 m.scripts
- blue publishers allow open postprints: 15.000 m.scr.
- green publishers allow open pre-/postprints: 40.000 m.s.
- embargo periods and reuse conditions vary greatly
- changes or exceptions can often be negotiated by authors -> This is what the Commission wants.

Basically the Commission says to these researchers,

*"Sorry, your 2007 petition was mis-addressed.*

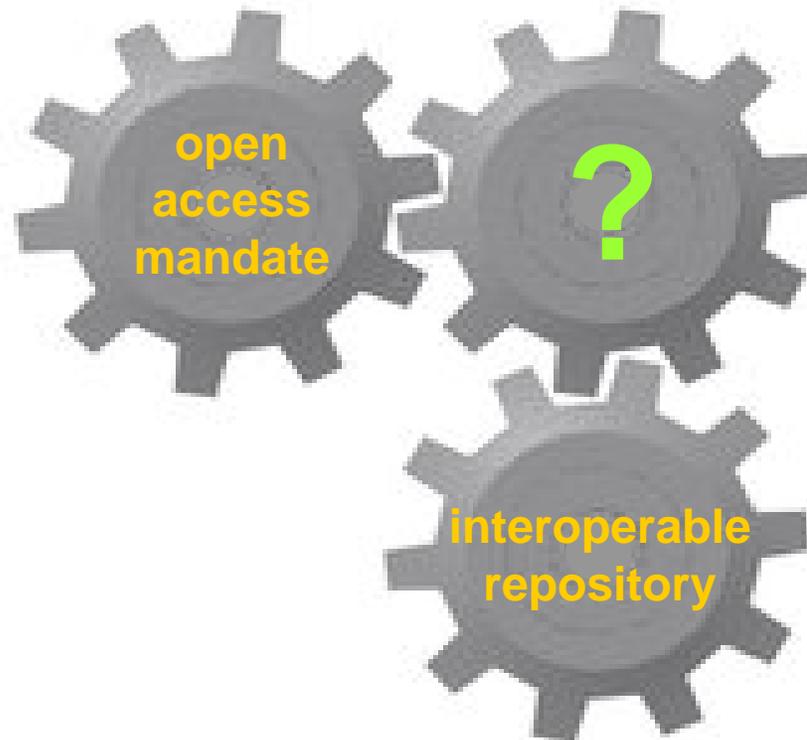
*Send it to your publishers."*

# This is unnecessary!



The defect publishing machinery can easily be repaired with a well known tool:

tendering non-proprietary review systems



# What the EC might do



Imagine a call for proposals.

*“The European FP7 Programme (50 billion, 2007-2013) will result in a stream of publications. For seven areas of research the Commission requires that these publications are openly accessible reviewed articles. In order to have appropriate review procedures in place for these articles the Commission wants to tender the reviewing process under the following conditions:*

- 1. The reviewing process must be independent, rigorous and swift.*
- 2. The reviewing may be anonymous, named or open (to be negotiated).*
- 3. As a result of the reviewing articles will be marked 1 to 5.*
- 4. Articles with marks 3 to 5 will be published in an open access journal and deposited in a certified (institutional) repository.*

# What the EC might do



Imagine a call for proposals.

5. *In review procedures the Commission will weigh articles with marks 3, 4 and 5 as if they were published in journals with impact factors 1-3, 4-8 and 9-15 respectively (These figures are nominal and subject to disciplinary calibration).*
6. *Alternatively, authors may publish their articles in any existing OA journal.*
7. *A yield of at least 100.000 open access articles is expected in total.*

*Proposals should be sent to ..... Possibly several contracts will be allocated e.g. for different disciplines. The Commission will seek the advice of EURAB/ESF/EUA/EUROHORCS in the selection process."*

# Result



- o 100 – 200 new Open Access journals
- o Relieved authors: level playing field, recognized citations, legal transparency
- o Proud universities: demonstrate CSR
- o Eager publishers: interesting challenge
- o Pro-active EC: stimulating publication market, stimulating knowledge circulation, grant petition
- o For Funders: the result is scalable!



*Answers please*

Did I make myself clear?  
Have I overlooked essentials?

And the ultimate question (esp. to funders):

*What are you waiting for?*

leowaa@xs4all.nl

*Disciple of Eve*