

Open Access: Current trends and future developments Symposium of the Consortium of Swiss Academic Libraries, 19th May 2014

Introduction to Open Access

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Open Access means... Definition and circumstances



- Free and unrestricted access to qualified scientific works in the internet
- Ideally including the right to re-use, e.g. CC-BY licence



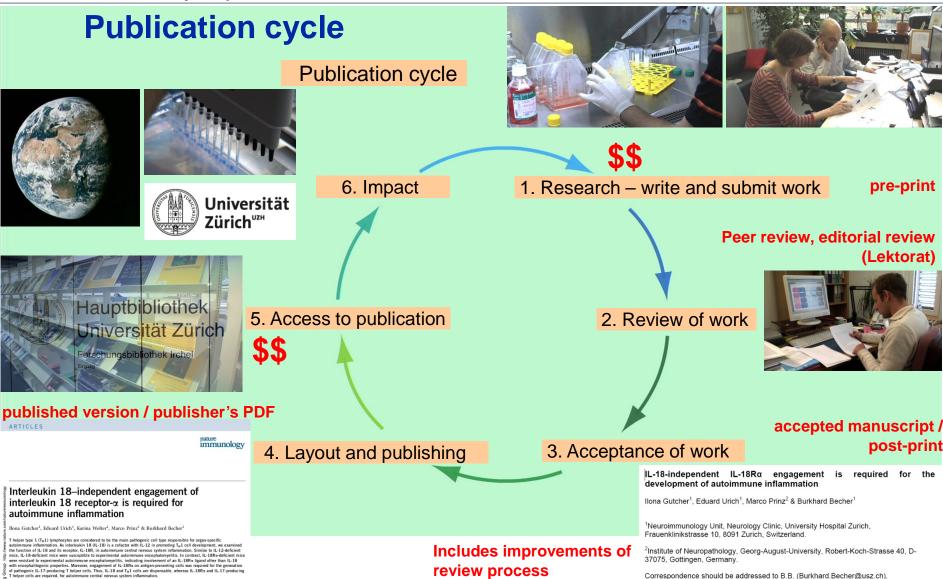
- Gold Road (Open Access journals and publishers) or Green Road (Depositing in Repositories)
- Digital long-term preservation
- Best basis for enhanced citation impact
- (increasingly) Open Access to research data: Open Data



Why do we need Open Access? Advantages for authors, scientific network and more

- Open Access increases visibility and accessibility
 - Knowledge disseminates and multiplies better and faster
- Unleash the full potential of information and data exchange through internet technology
 - Current ways of publishing are still largely based on print (>500 years old!)
 - Text and Data mining
 - Network of publications and research data
 - Economy: access to information \rightarrow innovation \rightarrow growth
- Overproportional high increases in journal prices by big publishers (journal crisis)
 - No library in the world can afford all journals
 - Dissemination of publications becomes restricted
- Results of publicly funded research (taxpayers) should be freely accessible
 - Important e.g. for doctors (private physicians, Hausärzte) and their patients







Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities

"

The Internet has fundamentally changed the practical and economic realities of distributing scientific knowledge and cultural heritage. For the first time ever, **the Internet now offers the chance to constitute a global and interactive representation of human knowledge**, including cultural heritage and the guarantee of worldwide access.

Open access contributions must satisfy two conditions: The author(s) and right holder(s) of such contributions grant(s) to all users a free, irrevocable, worldwide, right of access to, and a license to copy, use, distribute, transmit and display the work publicly and to make and distribute derivative works, in any digital medium for any responsible purpose, subject to proper attribution of authorship ...

- Created by Max Planck Society in 2003
- Signed by many Swiss universities, CRUS (Rector's Conference of the Swiss Universities), Swiss Academies of Arts and Science, Swiss National Science Foundation, other Swiss institutions



The Roads to Open Access

Green Road to Open Access

Publish "normally" -Deposit in a document server (self-archiving) Repository: Central (Discipline), e.g. <u>PubMed</u> <u>Central</u> Institutional, e.g. ZORA Gold Road to Open Access

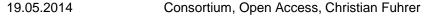
Publish in an Open Access journal / with an OA publisher

Do authors have the right to deposit with Open Access, and in what form?

Know about publishing contracts, author's rights

How good is the journal / publisher?

Who pays the Open Access publication fee (APC, article processing charge) and how high is it?



- Indexed/linked to PubMed
- Institutional repositories, e.g. ZORA (www.zora.uzh.ch):
 - For members of the University of Zurich including University Hospitals
 - Also publishes Working Paper Series of UZH and two Journals

Repositories

University of

Main Library - Open Access

Zurich^{⊍z⊮}

- Open DOAR: Directory of Open Access Repositories: lists > 2'600 repositories worldwide
- Repository-specific search engines: OAlster, BASE (Bielefeld Academic Search Engine: > 60 Mio items from > 3'000 repositories)
- Discipline-specific repositories, e.g. PubMed Central:
 - - 3 Mio articles, >4'300 Journals join (partially), articles are deposited after maximally 12 months
 - Based on US-law, National Institute of Health (NIH)-sponsored publications must be freely accessibly in PubMed Central after 12 months







Welcome to ZORA

(as of 15.05.2014)

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Added value of institutional repositories

- Institutional repositories should offer added value to be attractive for researchers: publication management
- Embedding into working environment and local university reporting systems single point of deposit for researchers
- Ideally linked to CRIS (current research information system) of university
 - Professional system for reporting, managing publications, information on projects and people, people profiles, ...
 - Well known in Scandinavia (e.g. CRIStin: national CRIS of Norway) or UK
 - euroCRIS (Organisation), CERIF (Standards), ...
- CRIS not in use at Swiss universities, instead distributed (homemade) databases dominate such as annual report database, research database, collaboration database, database of evaluation office, …

\rightarrow Interfaces of institutional repository to:

- Annual reports
- Individual websites of researchers
- Evaluations



Open Access publishers and journals

 <u>Directory of Open Access Journals</u>: comprehensive directory, lists > 9'000 OA journals, >5'500 searchable at article level

DOAJ DIRECTO	CESS	SUPPORT DOAJ
Home Search Apply About For Publishers		
+ Subject	★ 10 ↓ ? order by relevance Subject medicine journal ×	
+ Journal Language	1 – 10 of 2328	>
+ Journal Country	Journal of Injury and Violence Research	

- <u>Directory of Open Access Books</u>: > 1'900 OA-E-books from 64 publishers
- OAPEN: OA-platform for books, run in collaboration with publishers



Quality of Open Access journals

- Peer Review
- Well known: OA-publishers such as PLoS, BioMed Central/Springer Open
 - Have been publishing with Open Access for > 10 years
 - Impact Factor, SCImago journal rank, Eigenfactor
 - Well known editorial boards and authors
 - Due to institutional memberships, authors pay less
- Others are still young and not well known
 - No Impact Factor, SCImago journal rank, Eigenfactor, (yet)
 - How well known are editors and editorial boards?
 - Did famous authors publish?
 - Is the publisher reputable?
 - Institutional memberships, which institutions have one?
 - «Predatory» journals to avoid, <u>Beall's list</u> (Jeffrey Beall)
- OA publication costs (APC, article processing charge): costs vs. service?
 - APCs of new dedicated OA publishers are lower (average \$ 1'418) than of traditional publishers (\$ 2'097). Hybrid OA is even more expensive (\$ 2'727) *

«Don't get in a car if you don't know the driver!»

«Don't pay too much for a taxi ride!»

^{*} http://www.wellcome.ac.uk/About-us/Policy/Spotlight-issues/Open-access/Guides/WTP054773.htm



Business models for Gold Open Access

- Author pays (APC)
- **Funder pays**: e.g. Wellcome Trust, Research Councils UK, NIH, DFG, FWF (Austria), Swiss National Science Foundation
- Institutional membership: e.g. with BioMed Central/Springer Open
 - Flat fee model: institution pays flat annual fee (depending on size, e.g. 5'000 \$), their researchers get a 10-15% discount on APCs and pay themselves
 - Institution pays all or part of APCs:
 - Total discount 0-20%
 - Full support institution pays all, researcher does not see the costs
 - Shared support institution pays 50%, researcher pays 50%
 - Handling: often pre-pay, automated with IP-range recognition
- **Publication fund:** e.g. many UK and U.S. universities
 - Institution has a (usually limited) fund which pays for APCs from any Open Access publisher
 - Handling: manual, platform (Open Access Key, SWETS?, further...)



Business models for Gold Open Access (2)

- Consortium business model: e.g. SCOAP3
 - SCOAP3: Transformation of licenced to OA journals in high-energy physics
- Community-fee-model: e.g. arXiv
 - arXiv = pre-print repository originally mainly funded by Cornell University and few others, now increasingly through (voluntary) fees from institutions with actively publishing authors
- Collaborative initiative: e.g. Knowledge Unlatched
 - Many libraries worldwide opt in and share the payment of a single title fee to a publisher – the book is then published with OA via OAPEN
- Institutional sponsorship, community/campus publishing: e.g. library-hosted journals on OJS (Open Journal System)
 - Often smaller journals directly operated by academics and institution's library/IT services



Business models for Gold Open Access (3)

- Hybrid Open Access model: e.g. most big publishers (Elsevier, Springer, Wiley, …)
 - Single articles in licenced journal are made Open Access against APCs
 - Problem of «double dipping» (earning twice): licences + APCs
 - Wanted: local compensation with licence costs at institution level instead of indirect global mechanisms
 - Wanted: more novel models, e.g. voucher system of Royal Society of Chemistry: RSC gives vouchers for OA articles to institution in similar amount as licence costs paid by that institution



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Main Library - Open Access

Legal issues: overview





Statutory provision, copyright law

- Swiss Copyright Act <u>(Schweizerisches Urheberrechtsgesetz, URG)</u>
- Provisions of publishing contract law contained in the Swiss Code of Obligations (Verlagsvertragsrecht des <u>Schweizerischen</u> <u>Obligationenrechts, OR)</u>
- International constellations

Expert opinion (Rechtsgutachten) by Prof. Dr. Reto M. Hilty and Dr. Matthias Seemann: Open Access – Access to scientific publications in Swiss law

- Commissioned by the University of Zurich, initiated by the Main Library
- Published on OA-website of Main Library UZH (<u>www.oai.uzh.ch</u> → Copyright) and ZORA (<u>http://dx.doi.org/10.5167/uzh-30945</u>)
- Including answers to <u>FAQs</u>
- German, English, French



Author:

- Place of residence in Switzerland
- No other agreements with the publisher
- Depositing in a Swiss repository / server



- The author of an academic paper, such as an article in a journal or a contribution to a collective volume (Buchkapitel) can publish it in a repository or other server three months after it has been published in full (Swiss Code of Obligations: <u>Art. 382 Para. 3 OR</u>).
- Newspaper articles can be published by the author in a repository or other server at any time (Swiss Code of Obligations: <u>Art. 382 Para. 2 OR</u>).
- Accepted manuscript; or publisher's PDF but without the publisher's logo, which is protected by trademark law or similar (expert opinion)
- The author cannot publicly deposit works such as monographs or textbooks in a repository in competition with the publisher unless the edition is out of print (Swiss Code of Obligations: <u>Art. 382 Para. 1 OR</u>). Versions that cannot be cited correctly and that do not constitute genuine competition are permitted, such as files without the original page numbers in subjects where citations give the exact page number.



Publisher can be abroad!





Author:

- Place of residence in Switzerland
- No other agreements with the publisher
- Depositing in a **repository / server abroad**



Then:

- When depositing academic works in a repository abroad, the **country-of-protection principle** (Schutzlandprinzip) applies, according to which the law of the country for which protection is requested applies (Federal Act on International Private Law: Art. 110 Para. 1, AIPL).
- E.g.: For a repository in France, French law applies, while a German repository is subject to German law.



Publishing contract (Verlagsvertrag)

- Copyright Transfer Agreement, Licence to Publish, Publishing Agreement...
- Takes priority over non-mandatory legislation such as Swiss Code of Obligations Art. 382 → content of contract is valid!
- Check author's rights regarding self-archiving and depositing in an institutional or central repository
- Format: pre-print, post-print/accepted manuscript, published version
- Embargo: often 6-24 months
- Further conditions and restrictions, e.g. copyright statement
- Often allowed: accepted manuscript after an embargo period
- Overview: <u>SHERPA/RoMEO</u>, now increasingly on journal level

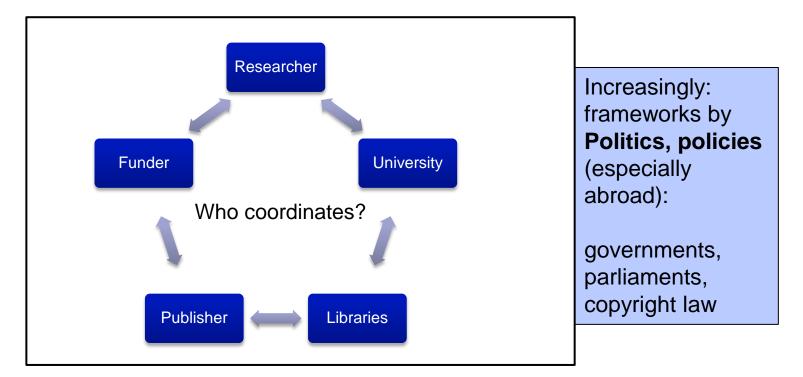


Publisher copyright policies & self-archiving



Stakeholders and their roles

- Open Access is an example of collective action
- Requires many different stakeholders to act synchronously and worldwide
- Well, that's easy to say but hard to do…





Important role of funders

- Open Access policies: mandates for researchers, usually involving Green and Gold Road
- Payment of APCs
- Example Swiss National Science Foundation:
 - Basic mandatory Open Access (Green or Gold) since 2007
 - Supporting APCs in OA journals since Oct. 2013
 - Increased OA requirements for books and supporting OA-E-book publication costs as of July 2014
 - Clear mandate in the service level agreement: in its service level agreement (Leistungsvereinbarung) 2013-2016 with the Confederation (Bund), the SNSF has pledged to make scientific publications available without delay, around the world and free of charge, as far as possible

http://www.snf.ch/de/fokusForschung/newsroom/Seiten/news-140416-publikationsfoerderung-digitale-verbreitung-open-access.aspx, http://www.snf.ch/en/researchinFocus/newsroom/Pages/news-140506-petition-swiss-academic-publishing-in-danger-the-snsf-clarifies.aspx



EU (European Commission): Horizon 2020

Horizon 2020

- Obligation to provide OA, either through the Green or Gold way in all areas
- Allowed embargoes: 6/12 months
- Gold open access costs eligible for reimbursement as part of the project budget while the project runs & other support being piloted

Key steps for OA to research data in H2020 (1/2)

A limited pilot will ensure OA to some data, on a voluntary basis and with opt-out safeguards

Beneficiaries will accept to:

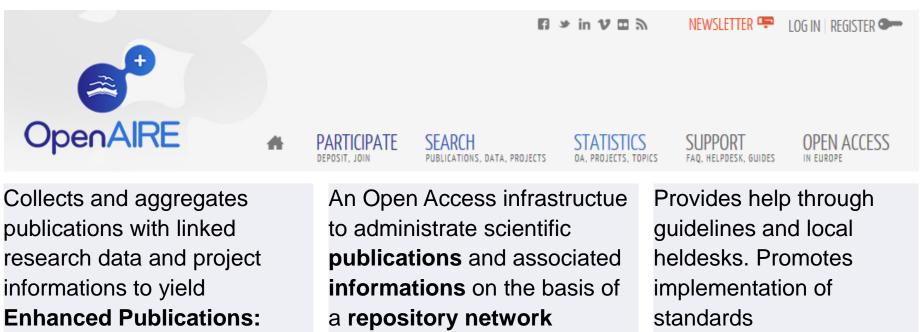
- deposit in an open access repository:
- a) the data, including associated metadata, needed to validate the results presented in scientific publications as soon as possible;
- b) other data, including associated metadata, as specified and within the deadlines laid down in the data management plan;
- provide information, via the repository, about tools and instruments at the disposal of the beneficiaries and necessary for validating the results (where possible, provide the tools and instruments).

European Commission

- <u>Guidelines on Open Access to Scientific Publications and Research Data in Horizon 2020</u>
- <u>Guidelines on Data Management in Horizon 2020</u>
- <u>(press release) Scientific data: open access to research results will boost Europe's innovation</u> <u>capacity</u>



EU OpenAIRE Portal <u>www.openaire.eu</u>



Improve visibility and re-use, and extend research results

446 repositories in the networkTotal of 41 partner organisations32 NOADs (National Open Access Desks)

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Further dimensions and trends of Open Access

- «Carrot and stick» (Zuckerbrot und Peitsche): Wellcome Trust plans to withhold some grant money if funded researchers do not provide OA
- An increasing number of organisations support OA and publish roadmaps, guides and declarations, e.g. UNESCO, LERU (League of European Research Universities), ALLEA (ALL European Academies), …
- Political and policy level:
 - UK: debates on Gold OA funding in government and parliament (Finch Report, parliament report), policy of Research Councils UK
 - Holland: Science minister favors Gold OA
 - Germany: OA in coalition contract, OA in Landeshochschulgesetz (county university law) Baden-Württemberg, Unabdingbares
 Zweitveröffentlichungsrecht (unconditional right for second publication: accepted manuscript after 12 months embargo)



Aspects of Open Access in Switzerland

- Open Access policies of some universities
- Green Road, local level, institutional repositories, OA Teams, some workinglevel interactions are established
- Retrodigitization projects (retro.seals etc.)
- Consortium includes Green OA clause in licence negotiations with publishers
- SNSF: basic mandate for OA (Green or Gold), increased funding possibilities for Gold Open Access
- Program SUC P-2 "Scientific information: access, processing and safeguarding": ambitious program on many aspects of scientific information combining IT and library aspects, includes Open Access, has elaborated and published a strategic White Paper and a condensed strategy paper. OA preference on Green Road. First project grant applications are being approved, incl. pilot Swiss publication platform for Open Research Data (FORS)



Aspects of Open Access in Switzerland (2)

- Open Access publishers and journals: Frontiers, MDPI, Swiss Medical Publishers, …
- Political dimension of Open Access is missing (or at least not visible) so far
- BUT will the current internet petition of Swiss publishers against the new OA policy of the SNSF change that?

Fonds national suisse de la recherche scientifique FNS-SNF: L'édition académique en danger! Die akademischen Verlage sind in Gefahr!

AND note Open Government Data: Get Bundesrat verabschiedet Open Government Data-Strategie

Schweiz 2014 – 2018

Bern, 16.04.2014 - Der Bundesrat hat an seiner heutigen Sitzung die Open Government Data-Strategie Schweiz 2014 – 2018 verabschiedet. Mit der Bereitstellung von Behördendaten zur freien Wiederverwendung können der Wirtschaft Rohdaten zu innovativen Geschäftsmodellen zur Verfügung gestellt sowie die Transparenz der Verwaltungstätigkeiten gefördert und die verwaltungsinterne Effizienz gesteigert werden.

- OpenData.ch

Opendata.ch ist die Schweizer Sektion der Open Knowledge Foundation. Wir entwickeln Positionen und Projekte und tragen sie in die Medien.

https://secure.avaaz.org/fr/petition/Fonds_national_suisse_de_la_recherche_scientifique_FNSSNF_Ledition_academique_en_da nger_Die_akademischen_Verlage_sind_in/?cuMdubb

Consortium, Open Access, Christian Fuhrer



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Current state of Open Access at the University of Zurich

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UZH Open Access policy

Official policy revised in 2008:

The University of Zurich **requires** their researchers to deposit a copy of all their published scientific works in the Zurich Open Repository and Archive (ZORA) with open access, **if there are no legal objections.**

The University of Zurich encourages and supports their authors to publish their research articles in Open Access journals where a suitable journal exists and **provides the support to enable that to happen.**

Practical measure:

The Annual Reports of the University of Zurich (Akademische Berichte) are based on ZORA starting from 2008. In the Annual Reports publications are only considered if they have previously been deposited in ZORA.

\rightarrow – This only applies to metadata

- This made the researchers use ZORA more efficiently than the official policy
- Since inclusion in the Annual Reports is very important for the researchers



Implementation of Open Access so far

- Repository: ZORA (Zurich Open Repository and Archive)

- Global strategy to deposit all publications of UZH researchers since 2008
- Embedding and added values are increasing (publication management)
- Special collections, e.g. SystemsX.ch, publishing Working Papers of UZH

- Publishing journals with Open Access

- 2 via ZORA, 1 sponsored at a publisher

- Open Access publication costs (Funding)

- Punctual supporting strategy budget very small when compared to licencing and acquisition costs of UZH libraries
- Memberships with some OA publishers since 2003
- Open Access publishing fund for social sciences and humanities since 2012

Partner (National Open Access Desk) with the EU project OpenAIREplus

 Open Access is a regular topic in the Library Commission, bringing together Faculty members, librarians and a member of the Executive Board (Prorektor)



Workflows and added values of ZORA

Import PubMed DOI Faculty information system Web of Science, Endnote

. . .

Information shown in ZORA submission workflow

ZORA Submitters (ca. 1000): **Researchers (their** assistants, some institute libraries)

ZORA **Bibliographic metadata** Full versions (PDF) Supplemental data possible Links: DOI, PubMed, ... **ZORA-DOI** for full versions **Journal Database** Copyright + refereed details for each journal/serial used in ZORA Data from SHERPA, DOAJ, ERIH, Ulrichs (some), PubMed, Faculty decisions, own investigations **Open Access team – Data Curation:** \leftrightarrow communication Metadata check, links **De-duplication Copyright control (publishing contracts)** Ask full versions (accepted manuscripts) **Refereed/not refereed** Journal database content

Export

Deposit a publication one in

ZORA – re-use it in many ways

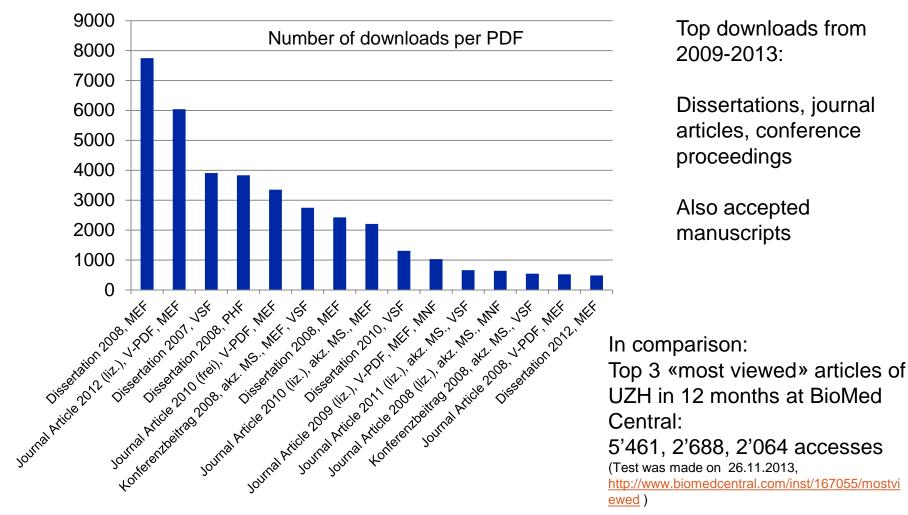
Annual Reports Evaluations Researcher websites OAI-PMH – interface, e.g. BASE, OAlster, OpenAIRE Research database UZH

(manual)

For each entry in ZORA (ca. 9'000 publications of UZH / year)

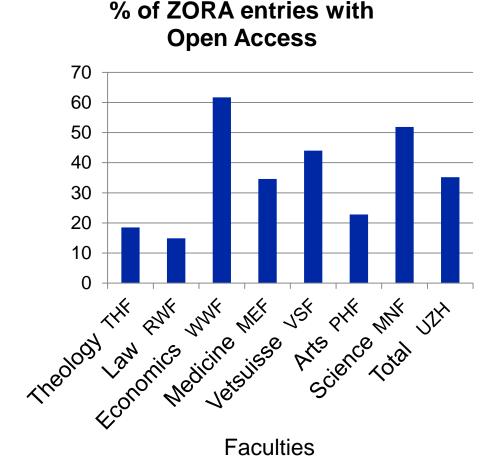


ZORA: Downloads of individual PDFs





Monitoring Open Access at UZH



ZORA contains +/- all UZH publications on metadata level

Total UZH: 35% OA (+5% OA at publishers, sometimes with embargo period)

Maximum based on publishing contracts: ca. 70%?

Different publishing cultures

In comparison:

- Ca. 40% OA in leading UK
- OA worldwide ca. 25%
- OA in Switzerland?

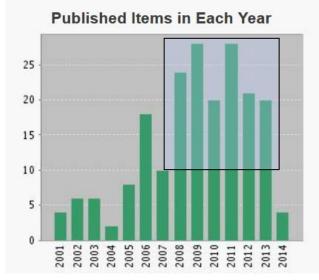


ZORA: visibility and citation frequency

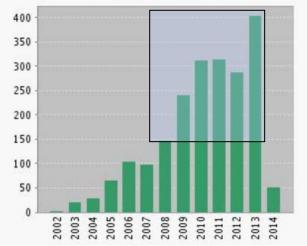
Citation Report: 199

(from Web of Science Core Collection)

You searched for: AUTHOR: (Clauss M) AND ADDRESS: (univ SAME Zurich OR univ SAME munich) Timespan=All years. Indexes=SCI-EXPANDED, SSCI, A&HCI, CPCI-S, CPCI-SSH, BKCI-S, BKCI-SSH, CCR-EXPANDED, IC. ...Less



Citations in Each Year



«Ich finde ZORA spektakulär. Ich bekomme über ZORA sehr viele Anfragen, es erhöht offenkundig die Netz-Zugänglichkeit meiner Publikationen», sagt Marcus Clauss, Privatdozent an der Vetsuisse-Fakultät. Zitat aus: Journal, die Zeitung der Universität Zürich, 40(5), 2010.

- Veterinary physician PD Dr. Marcus Clauss has been depositing all his publications in ZORA since 2008, often with accepted manuscripts
- Since 2008 his citation frequency has strongly increased
- Some studies show: Open Access also via repositories can increase citation frequency

Consortium, Open Access, Christian Fuhrer



Journals with Open Access

- «Asiatische Studien» edited by the Schweizerische Asiengesellschaft:
 - Sold in print by Peter Lang Verlag
 - Recent issues published with OA in ZORA
- Electronic Journal of Islamic and Middle Eastern Law (EJIMEL) edited by Center for Islamic and Middle Eastern Legal Studies (CIMELS), University of Zurich:
 - New Open Access journal started in 2013, published in ZORA
 - Interface/Feed to journal homepage (on UniCMS)
- «Zeitschrift f
 ür Rezensionen zur germanistischen Sprachwissenschaft» (ZRS) published by De Gruyter:
 - Issues as of Nov. 2013 are Open Access
 - Sponsoring of editorial costs (EUR 4'500 / year) by OA publication fund of Main Library UZH as a 3-year pilot
- 3 different models!



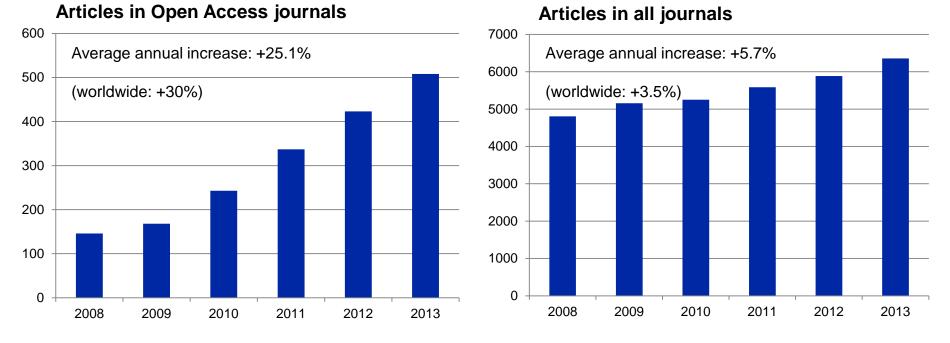
Institutional memberships of Main Library UZH

Туре	Publisher (Journal)	Model	Discount for authors
Institutional membership	BioMed Central incl. Springer Open (ca. 420 journals)	Shared Support Prepay	50-60%
	Public Library of Science (7 Journals)	Flat Fee (terminated)	10%
	Wiley Open Access (30 Journals incl. transformation of EMBO Mol. Medicine)	Flat Fee	15%
	Nucleic Acids Research (Oxford University Press)	Flat Fee	50%
	MDPI (ca. 110 Journals)	No Fee	10%
OA publishing fund	(for social science and the humanities)	Fund of HBZ	up to Fr. 2'000 / year and author
Discounts due to licences	Mary Ann Liebert	Hybrid OA	33%
	RSC Publishing (Royal Society of Chemistry)	Hybrid OA + vouchers	15%
	Portland Press	Hybrid OA	15%
	American Chemical Society (ACS)	Hybrid OA	33% (66% for ACS members)
	Proceedings of the National Academy of Science PNAS	Hybrid OA	25%

Further information: http://www.oai.uzh.ch/de/an-der-uzh/funding



Publications of UZH researchers in Open Access journals



 Publishers: BioMed Central, PLoS, Wiley OA, Frontiers, Hindawi, Copernicus, further (pure OA journals, no hybrid OA)

> Numbers for UZH from Zurich Open Repository and Archive (ZORA) Numbers worldwide: <u>http://dx.doi.org/10.1371/journal.pone.0020961</u>



EU FP7 project OpenAIREplus National Open Access Desk (NOAD)

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http://www.openaire.eu

Dont' hesitate to ask us if you have questions!

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Future plans

- Publishing platform for Open Access journals, using Open Journal System (OJS)
- Increased OA Funding: PLoS, Frontiers, further OA publishers:
 - Best with shared support pre-pay (50% Main Library, 50% authors) like BioMed Central/Springer Open
 - Such that researchers still see and partially feel the costs
- Data Management, Open Data, Data Repository: with IT Science Services UZH
- Proposal for OpenAIRE 2020: submitted, continued role as NOAD



Thank you for your attention

Questions?