



# Open Access - a short tour

Taru University Open Access Seminar

October 25, 2012 - Tartu

Eelco Ferwerda

OAPEN foundation

# Open Access - a short tour

## Context

- Definitions, forms
- Short history, status of OA today
- Trends: the mega journal

## The case for Open monographs

- Emerging business models
- Some examples

## Making the transition to OA books

- OAPEN library and services
- OAPEN pilots

## The new project bid Going for Gold

# Open Access - context

**Open Knowledge**  
*(Open Scholarship)*



–*Software:* **Open Source Software**  
–*Education:* **Open Courseware**  
–*Research output*

*Research results:*  
**Open Access**

*Research data:*  
**Open Data**

*Green road:*  
**OA archiving**

*Golden road:*  
**OA publishing**

**OA Journals**

**OA books**

# Open Access - definition

## OA is

- Digital
- Online
- Free of charge *'gratis'*
- Free to use and re-use *'libre'*

*'free availability and unrestricted use'* (PLoS)

## OA is compatible with:

- Peer review
- Copyright
- For-profit publishing

# Berlin Declaration on Open Access (2003)

## 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...

A complete version of the work and all supplemental materials, including a copy of the permission as stated above, in an appropriate standard electronic format is deposited (and thus published) in at least one online repository ... supported and maintained by an academic institution..., or other well-established organization that seeks to enable open access, unrestricted distribution, inter operability, and long-term archiving.

# The 'use and re-use' debate

## Licensing options:

### Full Open Access:

Creative Commons Attribution license: CC BY

Protecting investment in publication - non commercial: CC BY-NC

Protecting integrity of work - no derivatives: CC BY-ND

These works are not full Open Access.

OASPA, PLoS and SPARC introduced the Open Access Spectrum describing the spectrum between open and closed:

'HowOpenIsIt?' - <http://www.plos.org/about/open-access/howopenisit/>

# Routes to Open Access

## OA Publishing: golden route

- OA journals
- Peer review
- Main business models:
  - Subsidy from institutions (70%)
  - Author-side fee (publication charge)
- Both for-profit (BMC) and non-profit (PLoS)

## OA Archiving: green route

- OA repositories
- No reviewing
- Any kind of academic content
- Preprints and postprints
- OA or embargo
- Free and libre
- Interoperable through OAI protocol (allowing single search)
- Institutional and subject based

# A short history of Open Access

1991 - ArXiv

1993 - BioLine

1994 - NAP (OA books)

1997 - SPARC (ARL)

1999 - EIFL

1999 - OAI protocol

2000 - BioMedCentral

2001 - OJS (PKP)

2002 - Budapest OA Initiative

2003 - DOAJ (300 journals)

- PLoS first OA journal

- Berlin declaration

2005 - Wellcome Trust

(OA Mandate)

2006 - PLoS ONE

2008 - OASPA, OAPEN

- SpringerOpen (journals)

2011 - SCOAP3 start

OA tender in HEP

2012 - DOAB

- OMP (PKP)

- SpringerOpen (books)

- e-Life (WT, MPG, Howard Hughes)



# Open Acces today

## Gold:

- OJS > 10.000 'installations'
- DOAJ – 8300 OA journals  
917.564 articles

## Green: OA mandates

- Institutional repositories > 130
- Research funders > 50

## Gold + Green:

- > 25% articles available in OA
- 2008: 8,5 % gold, 12% green

DOAJ -- Directory of Open Access Journals - Windows Internet Explorer

http://www.doaj.org/doi?func=home&uiLanguage=en

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Favorites DOAJ -- Directory of Open Access Journals

Find: g3 open access journal Previous Next Options

# DOAJ

DIRECTORY OF OPEN ACCESS JOURNALS

SPARC EUROPE AWARD 2009  
For Outstanding Achievements in Scholarly Communications  
SPARC EUROPE

English

Free, full text, quality controlled scientific and scholarly journals, covering all subjects and many languages

## Search

Browse

Suggest a journal

About

Support DOAJ!

Statistics

Contact

## Journals

Search journals

## Articles

More than one word in a field will be treated as phrase.

All Fields

and  or  not

All Fields

Search articles

## NEWS

**15/9 2011:** 7000 journals and the DOAJ site in Turkish

**27/6 2011:** Article about OA publishing

**9/6 2011:** DOAJ site now also in French

**18/4 2011:** DOAJ listed as one of 20 Useful Specialty Search Engines for College Students

**28/3 2011:** DOAJ is launching a new user interface!

## News Archive

## DOAJ AS OF TODAY

DOAJ -- Directory of Open Access Journals - Windows Internet Explorer

http://www.doaj.org/

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DOAJ -- Directory of Open Access Journals

**Suggest a journal**

**About**

**Support DOAJ!**

**Statistics**

**Contact**

**Journals added last 7 days**

**Journals added last 30 days**

**Open Access info**

**For publishers**

Search journals

## Articles

More than one word in a field will be treated as phrase.

Search articles

22/10 2012: OA week 22-28 October

13/7 2012: Article about APC:s (Article Processing Charges)

24/10 2011: DOAJ site available in Greek

19/10 2011: DOAJ Promotion material available for OA Week

15/9 2011: 7000 journals and the DOAJ site in Turkish

27/6 2011: Article about OA publishing

9/6 2011: DOAJ site now also in French

**News Archive**

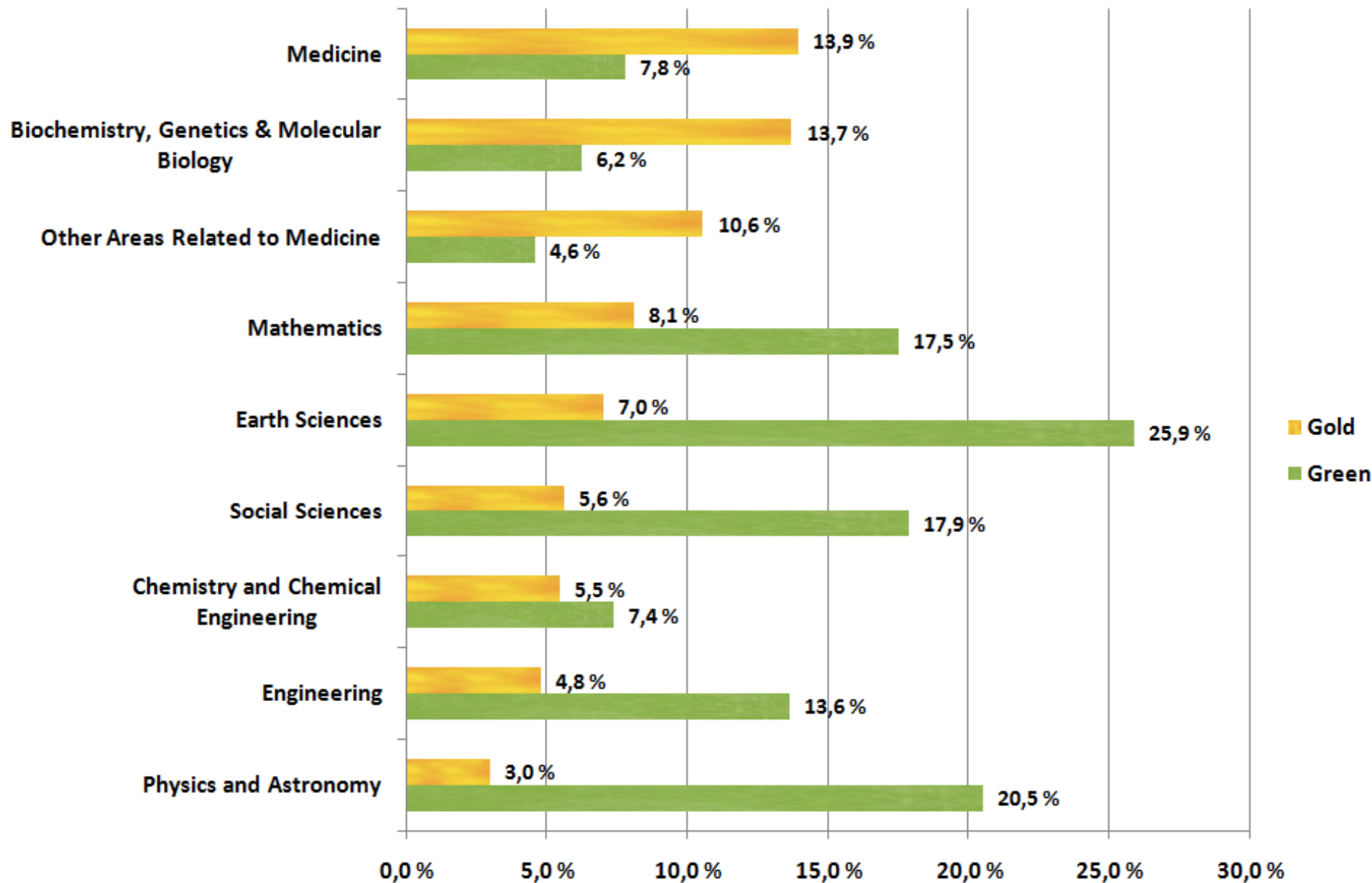
**DOAJ AS OF TODAY**

8299 journals

4113 journals searchable at article level

917564 articles

Internet 100%



Björk B-C, Welling P, Laakso M, Majlender P, Hedlund T, et al. (2010) Open Access to the Scientific Journal Literature: Situation 2009. PLoS ONE 5(6): e11273. doi:10.1371/journal.pone.0011273

# OA publishing trends

## New features:

- Continuous publication
- Inclusion of research data
  - enhanced publications
- Post publication review
- Rapid publication
- Article level metrics

## New format: the mega journal

PLoS ONE : accelerating the publication of peer-reviewed science - Windows Internet Explorer

http://www.plosone.org/home.action

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A selection of articles published in the last 2 days

**Tumor Suppressor p53 Functions as a Negative Regulator in IgE-Mediated Mast Cell Activation**

**Distance in Motion: Response Trajectories Reveal the Dynamics of Number Comparison**

**Venous Graft-Derived Cells Participate in Peripheral Nerve Regeneration**

**Surgery versus Watchful Waiting in Patients with Craniofacial Fibrous Dysplasia – a Meta-Analysis**


**Analysis of 16S rRNA Amplicon Sequencing Options on the Roche/454 Next-Generation Titanium Sequencing Platform**

**Arachidonic Acid Randomizes Endothelial Cell Motion and Regulates Adhesion and Migration**

**Exploring the Fundamental Dynamics of Error-Based Motor Learning Using a Stationary Predictive-Saccade Task**

**Spearfishing Regulation Benefits Artisanal Fisheries: The ReGS Indicator and Its Application to a Multiple-Use Mediterranean Marine**

**Featured Image**



*PLoS ONE* is an interactive open-access journal for the communication of all peer-reviewed scientific and medical research. Visit [everyONE](#)—the *PLoS ONE* community blog—for the latest updates ([subscribe](#)).

Editing

Translation



First Mega Journal, launched 2006

Primary research from *all scientific disciplines*

Acceptance based on ‘sound science’,

*not importance or impact*

2008: largest OA journal (2800 articles)

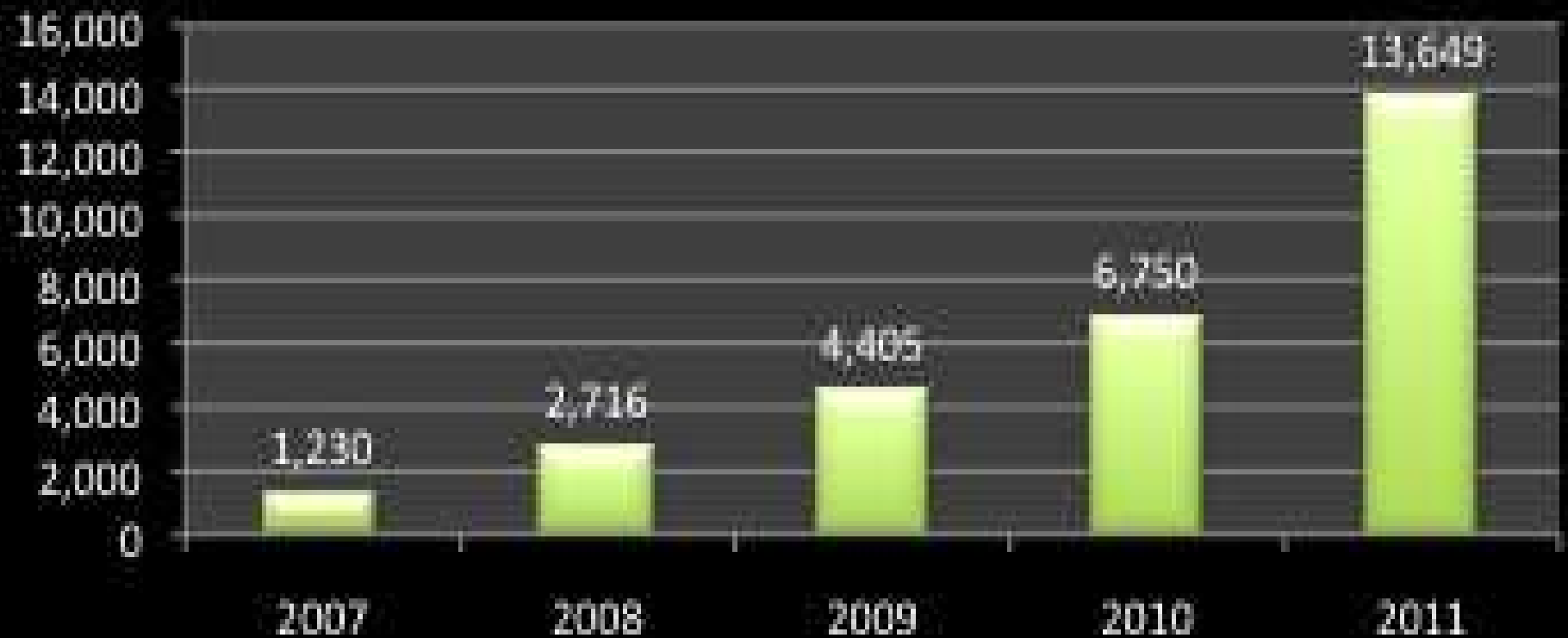
2010: largest e-journal (6750 articles)

2011: almost 14.000 articles

‘Conveyer belt’ approach to workflow

Reviewing managed by 2000+ editors...

# PLoS ONE growth in articles published 2007 - 2011





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http://www.elifesciences.org/


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Internet 100%



J. SANCHEZ



# Predatory publishers are corrupting open access

*Journals that exploit the author-pays model damage scholarly publishing and promote unethical behaviour by scientists, argues Jeffrey Beall.*

When e-mail first became available, it was a great innovation that made communication fast and cheap. Then came spam — and suddenly, the innovation wasn't so great. It meant having to filter out irrelevant, deceptive and sometimes offensive messages. It still does.

The same corruption of a great idea is now occurring with scholarly open-access publishing.

Early experiments with open-access publishing, such as the *Journal of Medical Internet Research* and BioMed Central, were very promising. Set up more than a decade ago, they helped to inspire a social movement that has changed academic publishing for the better, lowered costs and expanded worldwide access to the latest research.

Then came predatory publishers, which publish counterfeit journals to exploit the open-access model in which the author pays. These predatory publishers are dishonest and lack transparency. They aim to dupe researchers, especially those inexperienced in scholarly communication. They set up websites that closely resemble those of legitimate online publishers, and publish journals of questionable and downright low quality. Many purport to be headquartered in the United States, United Kingdom, Canada or Australia but really hail from Pakistan, India or Nigeria.

Some predatory publishers spam researchers, soliciting manuscripts but failing to mention the required author fee. Later, after the paper is accepted and published, the authors are

research is disappearing. Now there is a journal willing to accept almost every article, as long as the author is willing to pay the fee. Authors, rather than libraries, are the customers of open-access publishers, so a powerful incentive to maintain quality has been removed.

Perhaps nowhere are these abuses more acute than in India, where new predatory publishers or journals emerge each week. They are appearing because of the market need — hundreds of thousands of scientists in India and its neighbouring countries need to get published to earn tenure and promotion.

Here, the problem is not just with the publishers. Scientists themselves are also to blame. Many are taking unethical shortcuts and paying for the publication of plagiarized or self-plagiarized work.

Honest scientists stand to lose the most in this unethical quagmire.

When a researcher's work is published alongside articles that are plagiarized, that report on conclusions gained from unsound methodologies or that contain altered photographic figures, it becomes tainted by association. Unethical scientists gaming the system are earning tenure and promotion at the expense of the honest.

The competition for author fees among fraudulent publishers is a serious threat to the future of science communication. To compete in a crowded market, legitimate open-access publishers are being forced to promise shorter submission-to-publication times; this weakens the peer-review process, which takes time to do properly.

To tackle the problem, scholars must resist

**SCIENTIFIC LITERACY  
MUST  
INCLUDE  
THE ABILITY TO  
RECOGNIZE  
PUBLISHING  
FRAUD.**

**Predatory publishers use deception to appear legitimate, entrapping researchers into submitting their work and then charging them to publish it.**

**Jeffrey Beall**

<http://the-scientist.com/2012/08/01/predatory-publishing/>

# Open Access - a short tour

## Context

- Definitions, forms
- Short history, status of OA today
- Trends: the mega journal



## The case for Open monographs

- **Emerging business models**
- **Some examples**

## Making the transition

- OAPEN library and services
- OAPEN pilots

## The new project bid Going for Gold

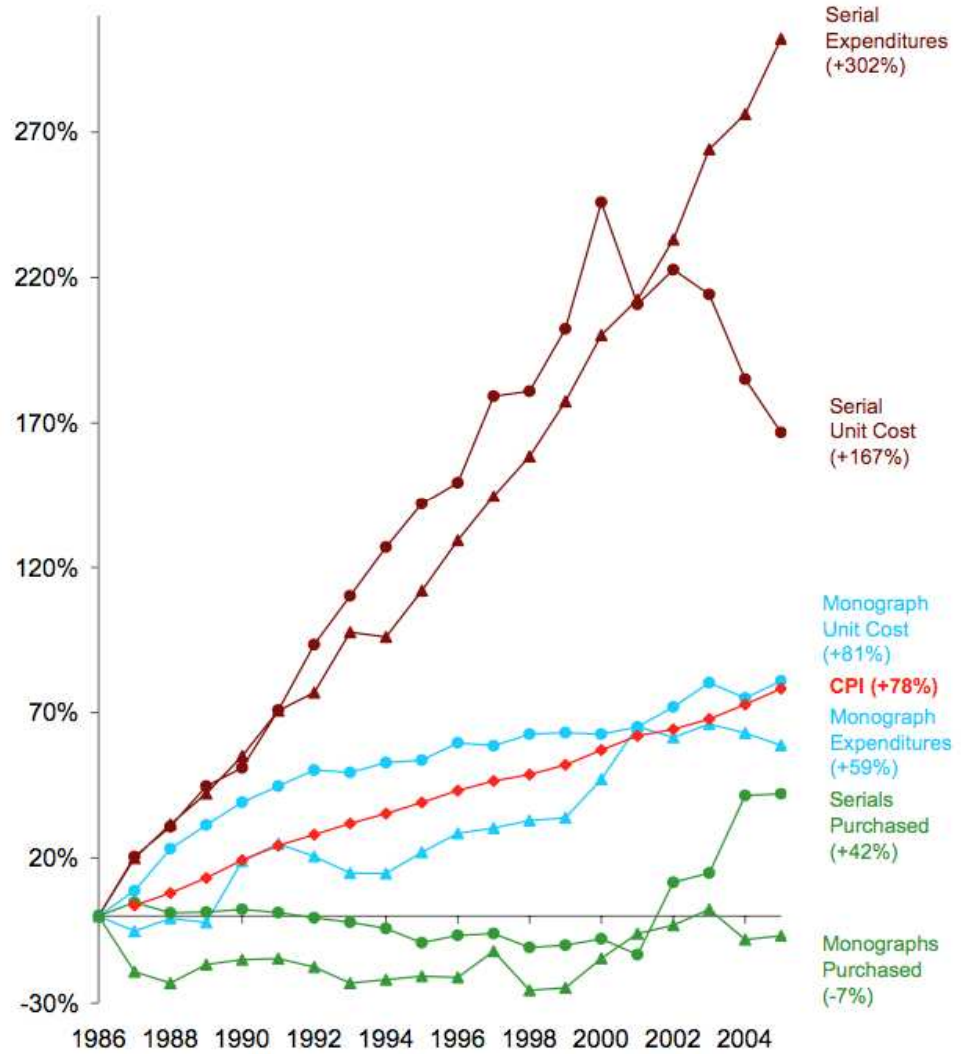
# Traditional monographs

## *Losing sustainability and relevance*

Between 1980 and 2000, sales to US Libraries  
dropped from 2000 to 500 (average)

Need for a new publishing model for academic  
books

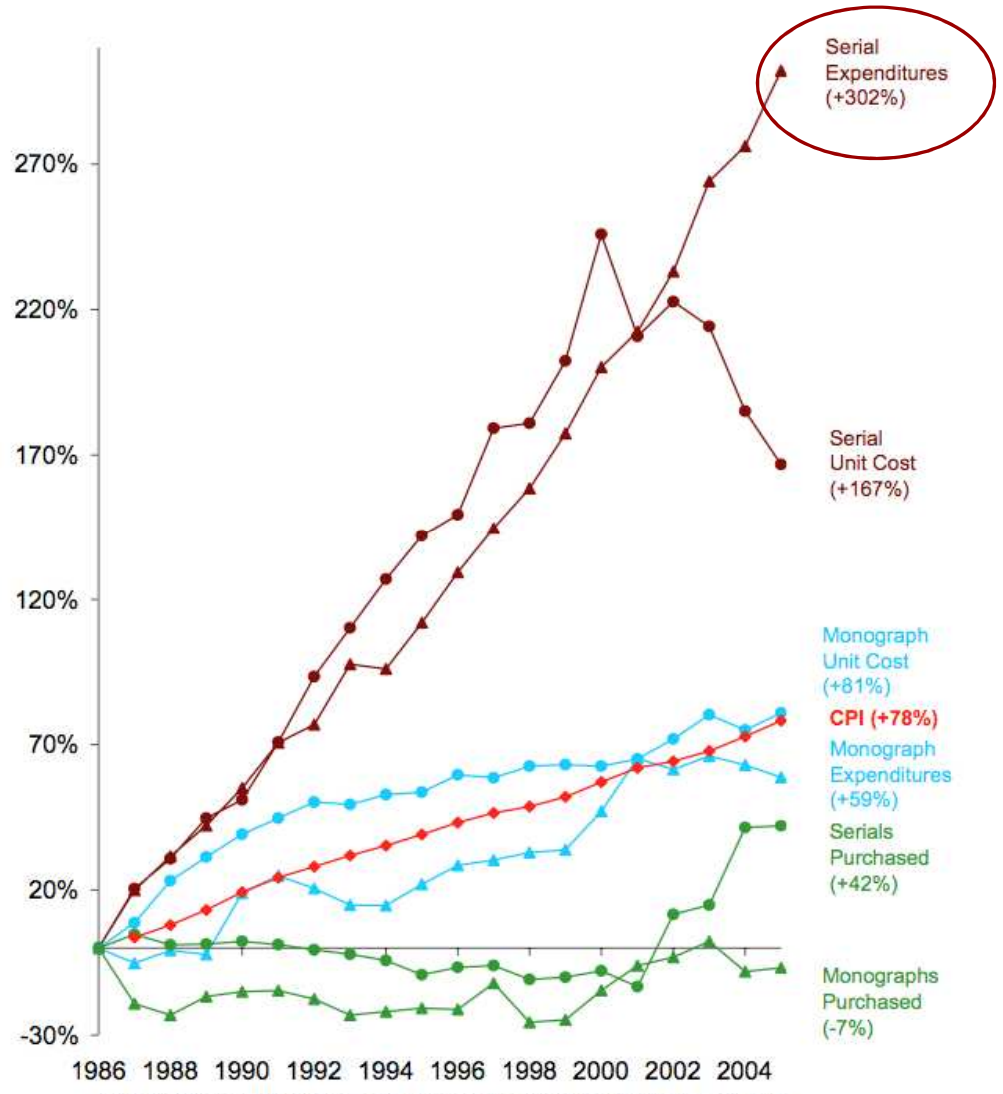
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Source: ARL Statistics 2004-05, Association of Research Libraries, Washington, D.C.  
\*Includes electronic resources from 1999-2000 onward.

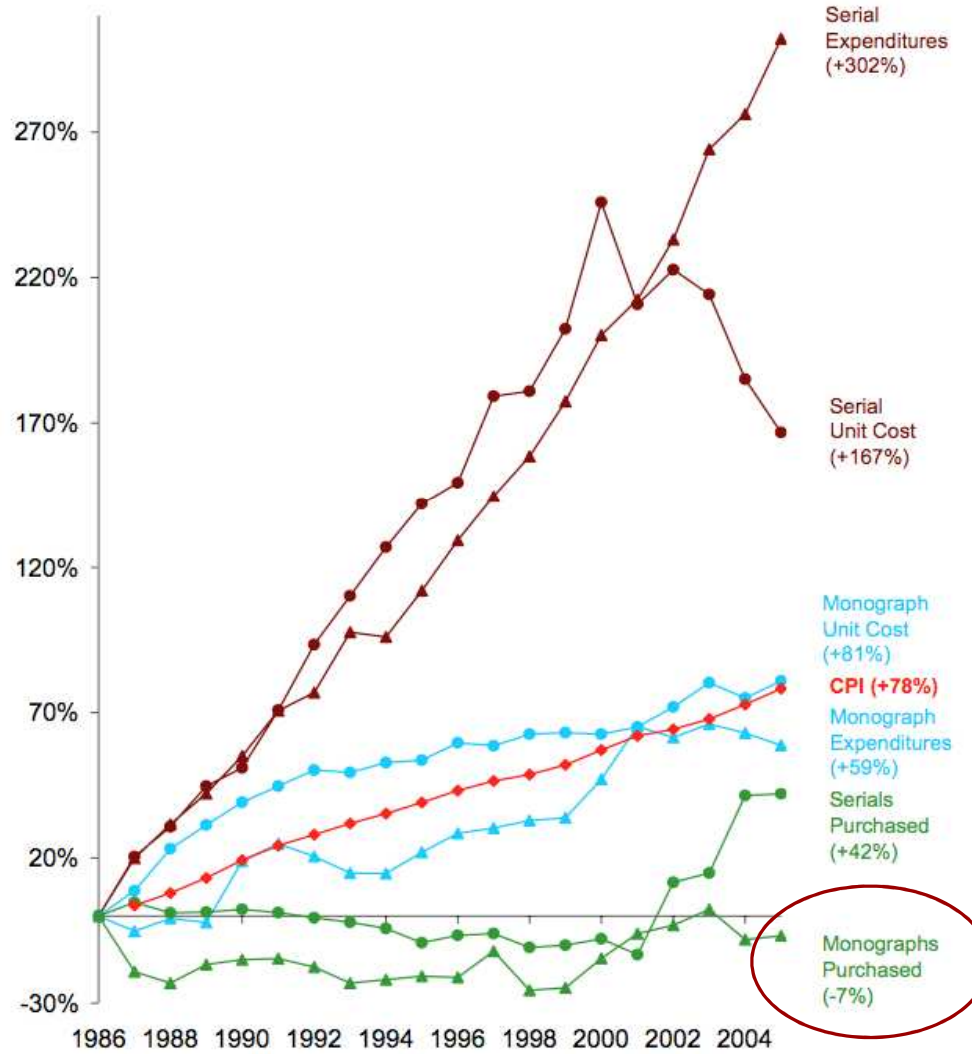


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\*Includes electronic resources from 1999-2000 onward.

# Open Access monographs

## *Becoming an effective model*

Open Access can improve:

- Discovery (views)
- Usage (downloads)
- Impact (citations)

+

Open Access *can* reduce costs

Open Access *may not* impact sales

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http://doabooks.org/

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- [Bloomsbury Academic](#) (39 books)
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- [De Gruyter](#) (29 books)
- [Firenze University Press](#) (89 books)
- [IOS Press](#) (1 books)
- [KIT Scientific Publishing](#) (19 books)
- [KITLV Press](#) (33 books)
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- [University of Michigan Press](#) (28 books)
- [University of Wales Press](#) (3 books)
- [Utah State University Press/ Computers and Composition Digital Press](#) (5 books)
- [Utah State University, University Libraries](#) (97 books)
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# Knowledge Exchange briefing paper

## About monographs:

Traditional models for monograph publishing are losing sustainability, even with substantial public funding

Paper proposes a new model for monographs: primarily as an electronic resource available on Open Access

Would reduce costs as printed edition could become a separate service provided as print-on-demand

# Open Monographs: business models

- OA edition + sales from print or e-books
- Institutional support for press
- Library-Press collaboration
- Library licensing/consortium
- Author side publication fee

# Open Monographs: business models

- **OA edition + sales from print or e-books -**  
All
- Institutional support for press
- Library-Press collaboration
- Library licensing/consortium
- Author side publication fee

# Open Monographs: business models

- OA edition + sales from print or e-books -
- **Institutional support for press** -
  - Athabasca University Press
  - Australian National University Press (ANU-E)
- Library-Press collaboration
- Library licensing/consortium
- Author side publication fee

# Australian National University Press

E-press publishing OA monographs

Costs covered by ANU's information budget

Central ICT services

Distributed editorial model:

20 E-press Editorial Boards

Principles:

- Press is seen as part of of Scholarly communication infrastructure
- Press uses existing University ICT infrastructure

Colin Steele:

*'...there is no point in supporting key academic research if there is no means of distributing and accessing it effectively'*

# Open Monographs: business models

- OA edition + sales from print or e-books -
- Institutional support for press -
- **Library-Press collaboration** -  
Mpublishing/Michigan UP, Göttingen UP
- Library licensing/consortium
- Author side publication fee

# Open Monographs: business models

- OA edition + sales from print or e-books -
- Institutional support for press -
- Library-Press collaboration -
- **Library licensing/consortium** -  
OpenEdition Freemium, Knowledge Unlatched
- Author side publication fee

# OpenEdition *Freemium*

Licensing model for libraries

Introduced as pilot

Based on combination of free content in HTML + premium content (PDF, e-pub) and services

Revenues split 1/3-2/3 between OpenEdition and publishers

Intended to:

- make OA content discoverable
- provide a business model for OA content
- help sustain platform

<http://www.openedition.org>

**openedition**  
REVUES.ORG CALENDAL HYPOTHESES.ORG



# ‘Knowledge Unlatched’ - Frances Pinter

Libraries form a global consortium  
Use their existing acquisitions budget  
Select individually, purchase collectively  
Price based on fixed or ‘first digital copy’ costs  
Libraries receive value-added edition  
Monographs are then published Open Access

Pilot being prepared for 2013  
Support from Australia and USA (ARL)  
Help from the ‘Big Innovation Centre’ (UK)

<http://www.knowledgeunlatched.org/>



# Open Monographs: business models

- OA edition + sales from print or e-books -
- Institutional support for press -
- Library-Press collaboration -
- Library licensing/consortium -
- **Author side publication fee** -
  - Springer, Amsterdam University Press
  - Some Research Councils

# Gold Open Access publication funds

Research councils pay for OA deposit of publications  
Restricted to publications based on funded research  
Either as incentive for Open Access or mandated

## Principles:

- Results from publicly funded research should be publicly available
- Funds for OA publication fees should be open for articles *and* books

## Examples:

The logo for the Austrian Science Fund (FWF) consists of the letters 'FWF' in a bold, sans-serif font. The 'F' is grey, and the 'WF' are blue.

# National approach: Sweden

‘Towards quality controlled Open Access Monographs in Sweden - exploring the possibilities of a consortium based approach’

Initiative of National Library and funder of research to bring together a number of universities / university libraries and academic presses to improve the Swedish situation for monographs:

- ensure effective dissemination based on Open Access
- coordinate quality control and share specific services
- using *existing funds* for books

# Open Access - a short tour

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## Making the transition

- **OAPEN library and services**
- **OAPEN pilots**

The new project bid **Going for Gold**



**OAPEN provides a platform for the dissemination of OA books through the OAPEN Library:**

- a quality controlled collection of OA books**
- improving discoverability and usage**

**OAPEN develops Open Access models for books and takes part in projects to publish Open Access monographs with academic publishers and funders**

**OAPEN develops services for stakeholders in OA book publishing, such as the Directory of Open Access Books (DOAB - [www.doabooks.org](http://www.doabooks.org))**

# Making the transition: principles

**Research and dissemination of results belong together**

- Research funding should include dissemination costs

**Funders' OA policies should be extended to include OA publishing (green *and* gold)**

- Budgets for OA publishing should be open for articles *and* books

**Publishers should develop OA Publishing as a service to the Scholarly community**

# Making the transition: OAPEN

## 1. OAPEN Library:

- Aggregating a collection of OA books
- Increase visibility and retrievability
- 30+ publishers, 1000+ OA books

## 2. Developing infrastructure/services for OA books

- OAPEN as deposit service for OA Books
- Directory of Open Access Books

## 3. OAPEN projects:

- Pilot projects
- 'Going for Gold'



# Making the transition: 1. OAPEN Library

## Organize content

- Set standards (metadata, licensing)
- Provide quality assurance (peer review)

## Create critical mass

- Promote OA for books
- Pull in publishers, aggregate content

## Increase visibility & retrievability

- Web presence (Google, Europeana)
- Library integration (online catalogues)
- Discovery services (WorldCat, Primo Central, Summon)


OAPEN Library - Windows Internet Explorer

http://www.oapen.org/xtf/home?brand=oapen

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search

### Browse the library

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### Top subjects

- Society and social sciences
- Humanities
- Economics, finance, business and management
- The arts
- Law
- Literature and literary studies
- Language
- Earth sciences, geograpy, environment, plannings
- History

## Welcome to OAPEN

**online library and publication platform**

OAPEN (Open Access Publishing in European Networks) is a collaborative initiative to develop and implement a sustainable Open Access publication model for academic books in the Humanities and Social Sciences. The OAPEN Library aims to improve the visibility and usability of high quality academic research by aggregating peer reviewed Open Access publications from across Europe.

**Search the library** [advanced search options](#)

### Featured titles



New Germans, New Dutch :  
Literary Interventions  
Amsterdam University Press



Sex and Gender in Biomedicine  
Universitätsverlag Göttingen



Partiti e gruppi parlamentari  
nell'ordinamento spagnolo  
Firenze University Press

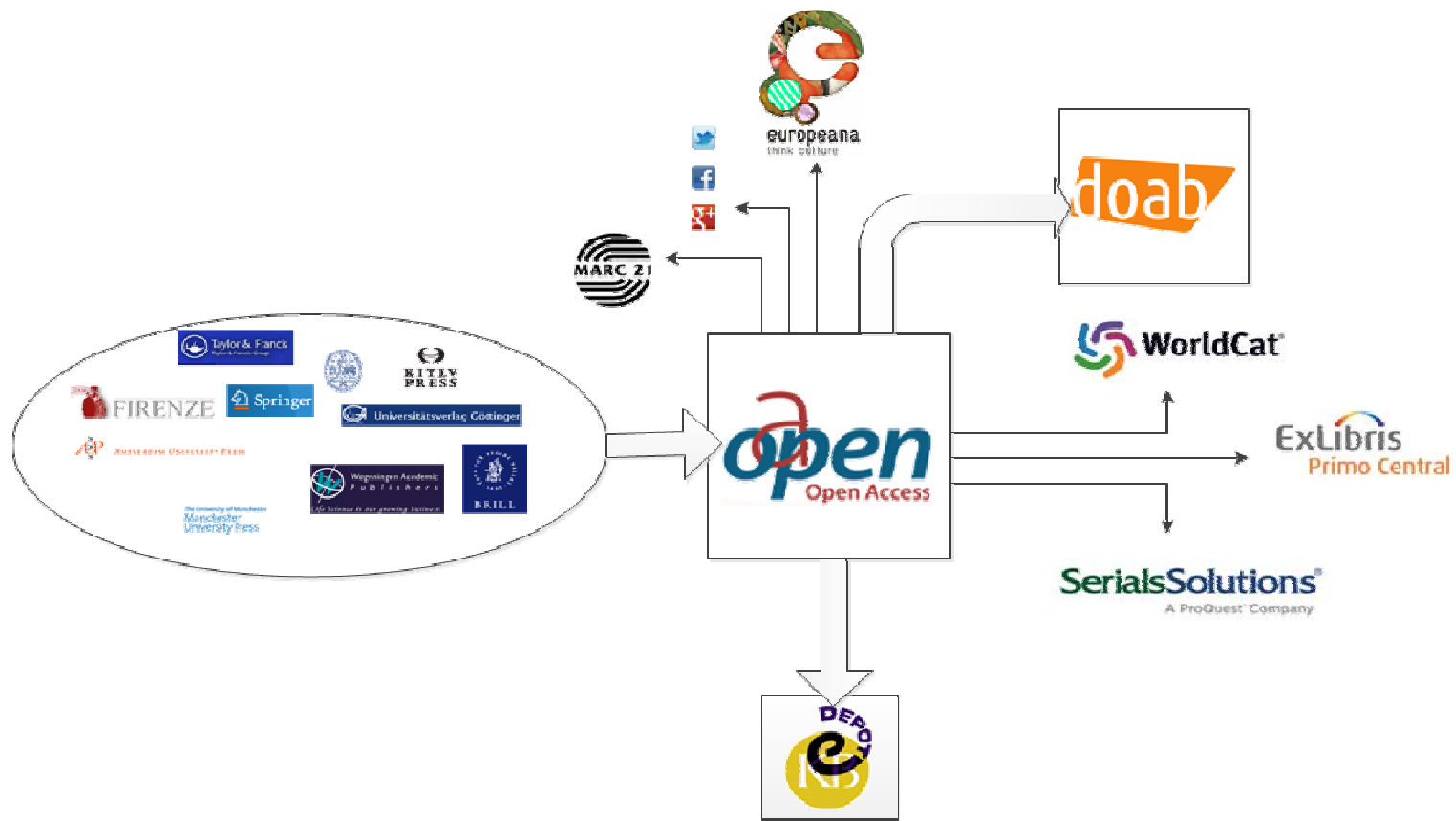


Changing anarchism: Anarchist  
theory and practice in a global  
age  
Manchester University Press



Smag for etik (Vol. 4): På  
sporet efter fødevareetikken  
Museum Tusulanum Press

# Making the transition: 2. Services



# New service: DOAB

A new service for OA monographs: the Directory of Open Access Books



- DOAB should operate as a twin service of the DOAJ
  - **Helping readers to find OA books**
- **Primary functions:**
  - **Increase dissemination and usage**
  - **Promote standards for OA books**
  - **Provide quality assurance for publishers and funders**
  - **Integrate with libraries and content aggregators**

# Making the transition: 3. OAPEN projects

## Pilot projects in OA book publishing:

- Set up limited publication funds for books (2-3 years)
- In different European countries
- Cooperation of research funders and publishers
- Test models, compare and evaluate results
- Come up with guidelines and recommendations
- Current pilots: NL (NWO) and UK (JISC collections)

**Goal: Establish a framework for OA books**

# OAPEN-UK

## Project management

- JISC Collections

## Funding:

- JISC Collections
- Arts and Humanities Research Council

## Research into attitudes towards OA books and measuring effect of OA on usage and sales:

- 3 years (1 year + 2 years monitoring)
- Start May 1, 2011
- Open to all academic publishers
- Books published before January 2011
- Approx. 30 books + control group ('matched pairs')
- Contribution £ 6000/book

# OAPEN-NL

## Project management:

- OAPEN Foundation

## Funding:

- Netherlands Organization for Scientific Research (NWO)
- Ministry of Education, Culture & Science

## Measuring usage, sales and publishing costs:

- 3 years (2 years + 1 year monitoring)
- Start October 1, 2010
- Open to all academic publishers
- Books published between Jan 1, 2011 - Aug 1, 2012
- Approx. 50 books + control group
- Maximum contribution € 5000/book

# OAPEN-NL: preliminary results

## Preliminary results:

books have only been available for 10 months  
(on average)

## Open access improves:

- Discovery (visits in Google Book Search)
- Usage (page views in Google Book Search)

Open Access has not impacted sales (but it is  
too early for conclusions)

Too early for data on Impact (citations)

# OAPEN-NL: Average costs of monographs

OA Costs:		Print costs:	
Peer review	€ 206	Cover	€ 293
Platform	€ 113	Printing, binding	€ 2,867
Marketing	€ 263	Distribution	€ 1,565
Editing/direct personnel costs	€ 1,948	Overhead	€ 591
Typesetting	€ 1,791	Other/direct costs	€ 375
Overhead/indirect personnel costs	€ 1,185	Marketing	€ 437
Other/direct costs	€ 146	Royalties	€ 385
	<b>€ 5,678</b>		<b>€ 6,489</b>



# Going for Gold

## Context

- Definitions, forms
- Short history, status of OA today
- Trends: the mega journal

## The case for Open monographs

- Emerging business models

## Making the transition

- OAPEN library and services
- OAPEN pilots



**The new project bid Going for Gold**

# Going for Gold: Project Bid

3 year project 'Creating a Shared European Infrastructure for Gold Open Access Publishing'

LERU initiative lead by University College London (UCL) with MDR Partners as project management

Universities / university libraries and some university presses:

- Coordinated approach to publish OA monographs from each of the participating universities
- Share infrastructure and e-publishing services
- Central board ensuring consistent quality standards

# Going for Gold: Partners

**22 partners from 8 European countries:**

- led by University College London (UCL)
- 14 universities as content partner
- 6 publishers
- 3 key participants:
  - MDR (project management)
  - OAPEN (infrastructure & services)
  - LIBER (communication and outreach)

## Going for Gold: Universities

Karlsruhe

Lund

Linköping

UCL London

Amsterdam

Barcelona

Belgrade

Freiburg

Göttingen

Helsinki

Leiden

Manchester

Nijmegen

Tartu

VU Amsterdam

# Going for Gold: Content

The list of publications will consist of a number of book series in Arts, Humanities and Social Sciences

- 5 to 6 series
- 4 to 6 books / year
- 30 books yearly

Partner Universities act as content providers

- concentrate on their specialisms and interests
- establish editorial boards for selection and peer review

Partners champion individual series but submission to series will be open to all partners *and* researchers outside the consortium

Central project editorial board will ensure consistent quality standards for all publications



**Thank you**

[www.oapen.org](http://www.oapen.org)

[www.boabooks.org](http://www.boabooks.org)

Eelco Ferwerda

[e.ferwerda@oapen.org](mailto:e.ferwerda@oapen.org)

**The following slides were not presented**

# Open Access - a short tour

## Context

- Definitions, forms
- Short history, status of OA today
- Trends: the mega journal



## Academic publishing in economic perspective

- **Costs and flaws**
- **The benefits of Open Access**

## The case for Open monographs

- Emerging business models

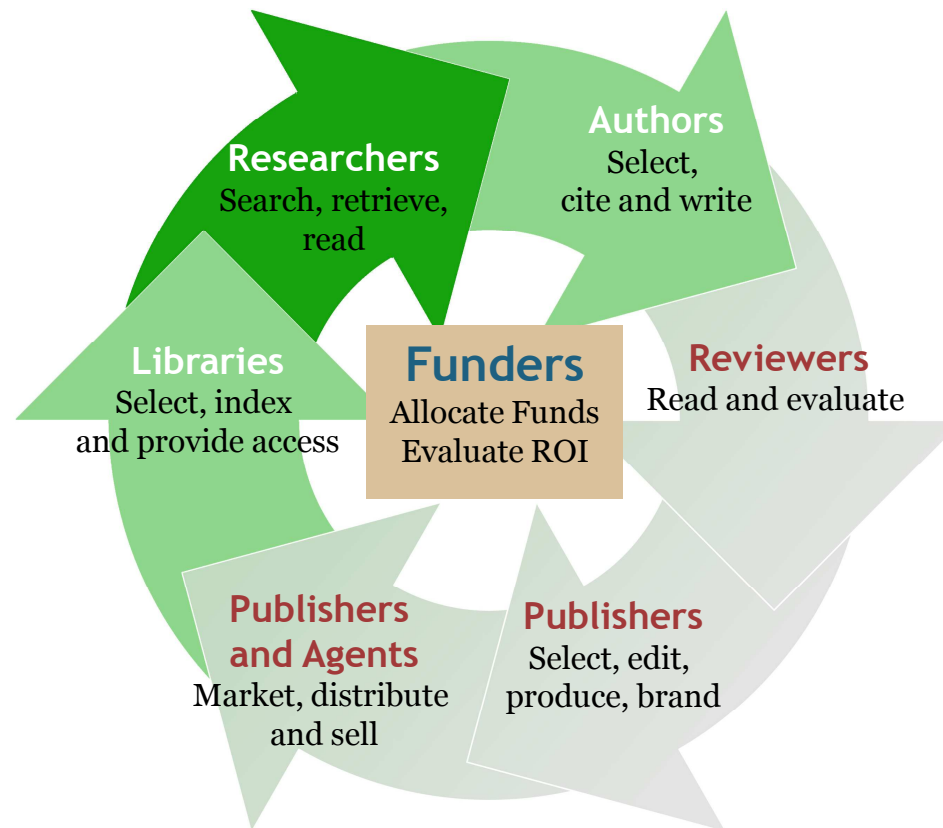
## Making the transition

- OAPEN library and services
- OAPEN pilots

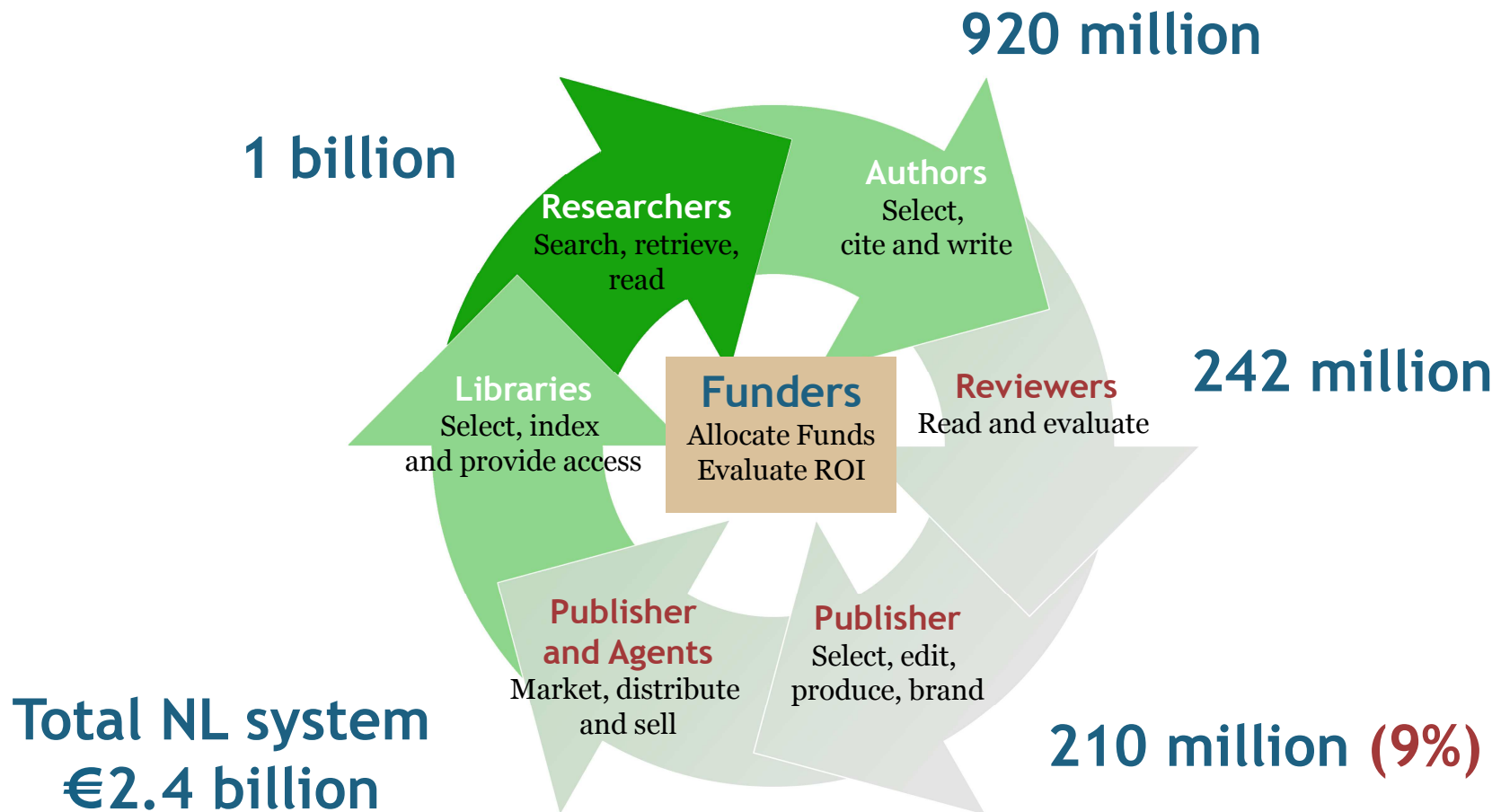
## The new project bid Going for Gold



# Publishing as part of the research system



# Houghton: activity costs in NL



Source: Costs and benefits of research communication: The Dutch Situation, John Houghton (2009)

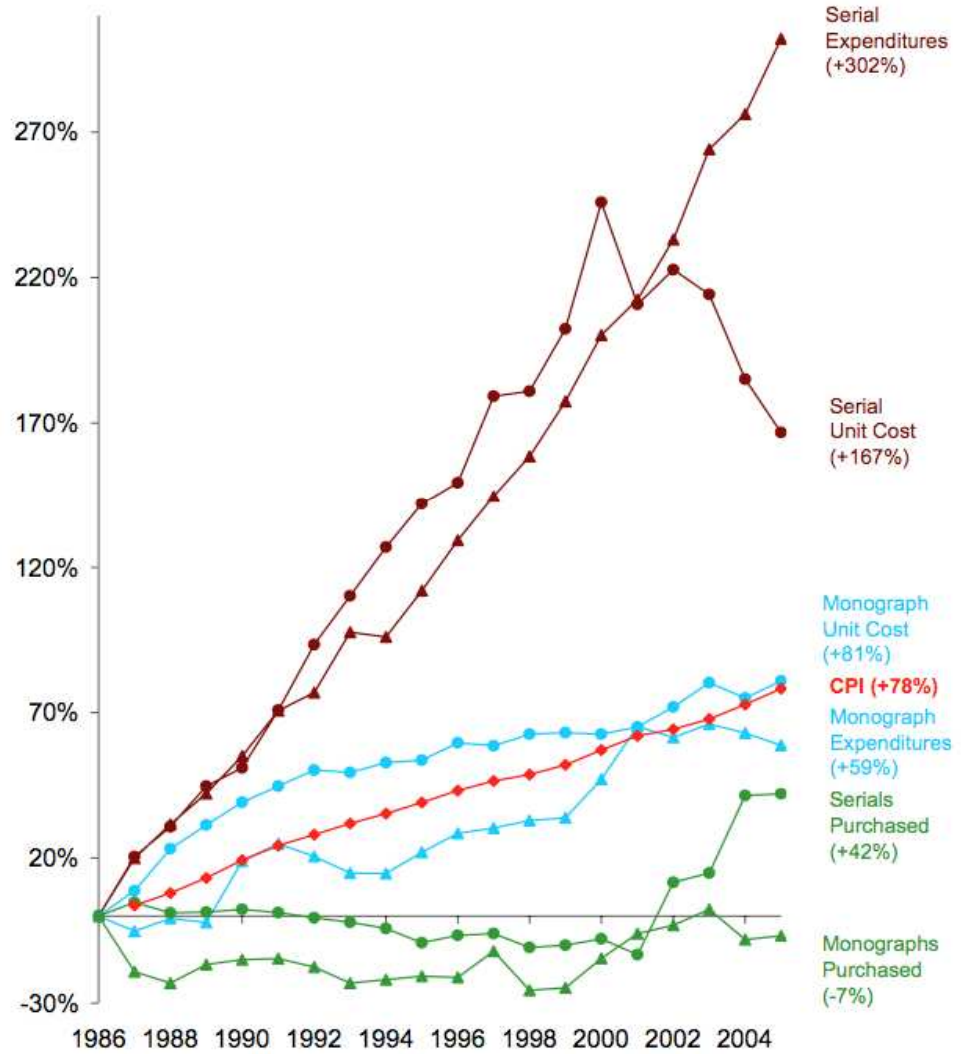
# **Academic publishing**

**Largely dependant on public spending**

**Research, authoring & reviewing paid for by  
Research funders and Universities**

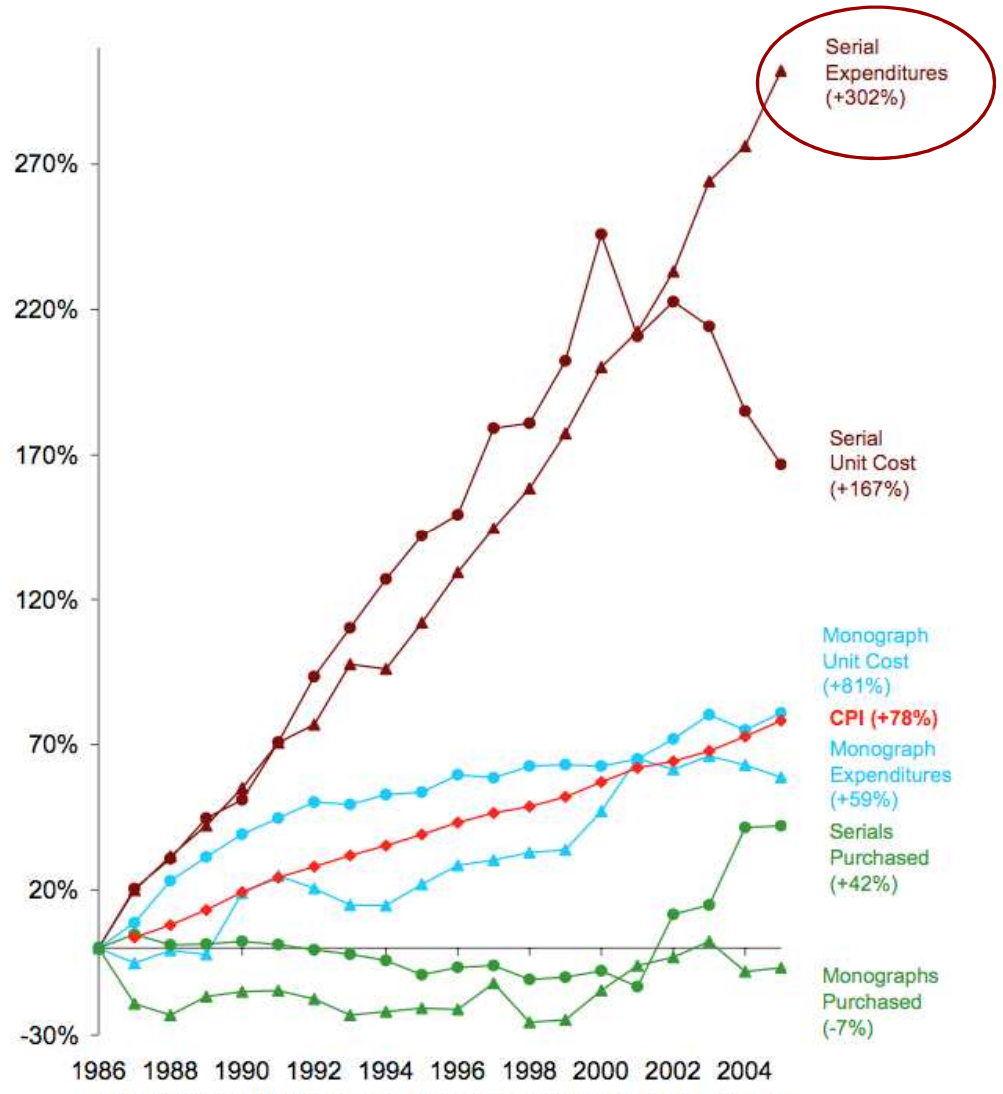
**Subscriptions paid for by Libraries**

### Monograph and Serial Expenditures in ARL Libraries, 1986-2005\*



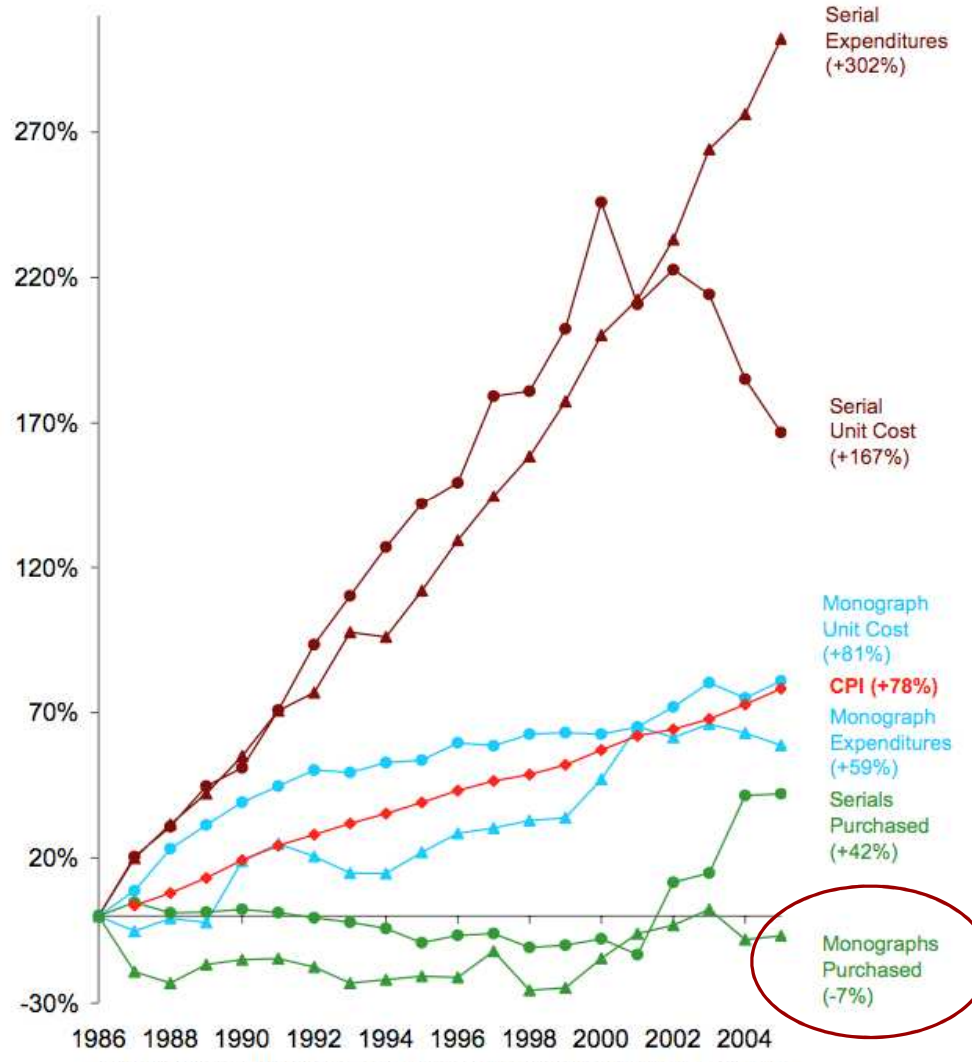
Source: ARL Statistics 2004-05, Association of Research Libraries, Washington, D.C.  
\*Includes electronic resources from 1999-2000 onward.

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### Monograph and Serial Expenditures in ARL Libraries, 1986-2005\*



Source: ARL Statistics 2004-05, Association of Research Libraries, Washington, D.C.  
\*Includes electronic resources from 1999-2000 onward.

# Traditional academic publishing

## Losing it's sustainability

**Commercialisation of STM journal publishing  
*in combination with* the growth of science:**

- **caused serials crisis (libraries)**
- **lead to monograph crisis (book publishers)**

# Benefits of Open Access

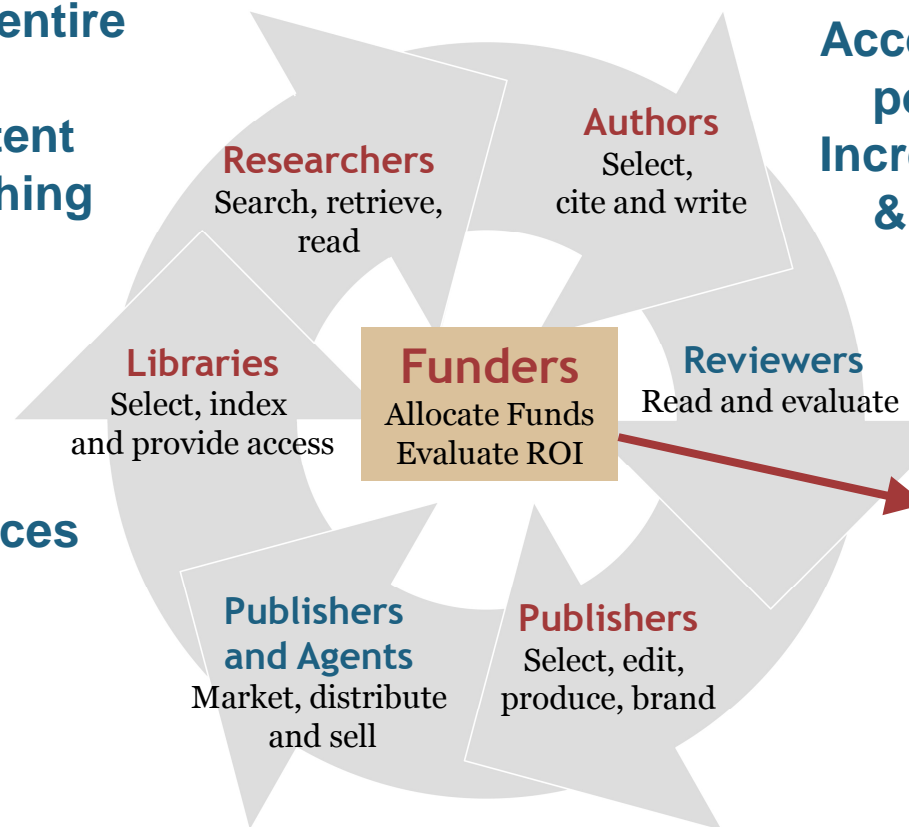
**Access to the entire literature**  
**Re-use of content**  
**Full text searching & mining**

**Answering user needs**  
**Improved services**

**Access to the largest possible audience**  
**Increased visibility & impact**

**Improving ROI**  
**Ensuring publication**  
**Advancing spread of knowledge**

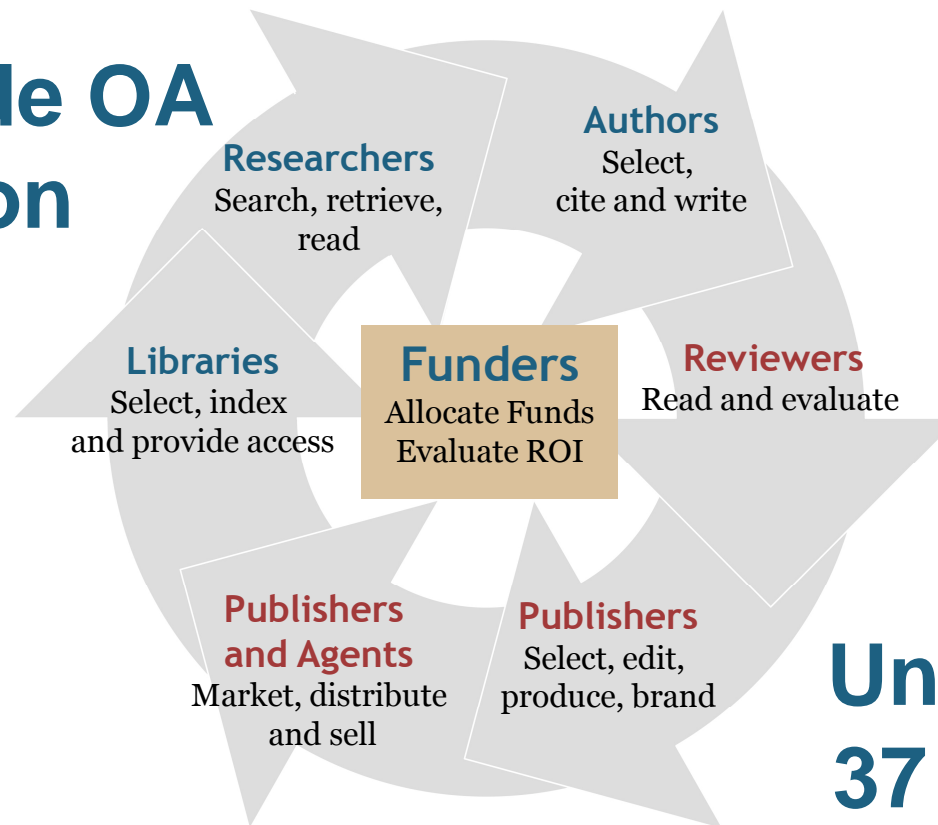
**Effective knowledge dissemination**





# Economic Benefits of OA (NL)

**Worldwide OA**  
**130 million**



**Unilateral OA**  
**37 million**

Source: Costs and benefits of research communication: The Dutch Situation, John Houghton (2009)