

## OPEN MINDS – INTERVIEW WITH ELEONORA DAGIENĖ, CHAIR OF COUNCIL OF THE LITHUANIAN ASSOCIATION OF SCHOLAR PERIODICALS Meile Kretaviciene

There is a lot of talk around the world about open access (OA) to scientific information; various initiatives related to open access are pursued.

### **What do you know about them and what do you think about them?**

We think very highly about open access. Open access gives greater opportunities for Lithuanian journals. One problem exists: if the reader does not pay for the journals, then someone else has to pay for the preparation and publishing of journals.

In order for readers to know about open access journal it is necessary to make efforts to organise funding and work processes.. The reader reads free of charge, information is provided free of charge in library, but someone must cover the costs for programs, installations, and renewals.. It is necessary that universities and associations think about these problems. Open access is not only a file published on the internet, but it is a much more complex procedure to prepare, present and supply to the reader. Lithuanian journals do not get any help. There is a lack of that knowledge in the academic community - knowledge about the invisible side of open access.

### **As every initiative, open access to scientific information receives different evaluations. What are the positive and negative aspects of open access to scientific information in your opinion?**

If information is presented openly to scientists and members of the academic community, then I would consider open access only positively. The open access initiative must be more widely supported by all. . For Lithuanian scientists, publishing articles in Lithuanian journals, it is important that journals support open access, that information about their research would be spread more widely .

### **In your opinion, does the quality of open access journals correspond to the required scientific quality in the journals published by commercial publishers?**

Sometimes you can hear the opinions that quality of open access journals is bad. I do not agree with such opinions. The processes of selection, review, and preparation are even more qualitative in open access journals. The open access journals published in Lithuania do not meet the same level of quality as the open access journals published in Scandinavia do. Lithuanian publishers and editors of journals must follow the experience of their Scandinavian colleagues. Lithuanian journals do not get any help.

### **Your journals are included in one of the most famous open access catalogues, i.e. The Directory of Open Access Journals. Has the readership and popularity of the journals changed since they became open access journals?**

I think that it has changed. The journal gets more manuscripts. The DOAJ – it is very good initiative and a wonderful opportunity for Lithuanian journals to be more visible.

### **Has the number and the geography of authors wishing to publish in your published journals changed since they were included into the Directory of Open Access Journals? If so - how?**

We do not have exact statistics. We did not investigate that question, but manuscripts and reading geography has spread significantly: different visitors from many countries were observed. According to research , 30-40 percent of the authors of publications published in Lithuanian journals are foreigners. Foreign authors trust Lithuanian journals, announce their research in Lithuanian journals, but sometimes those journals are not valued in Lithuania. We must not forget, that Lithuanian journals often do not have finances for management and marketing. No one is occupied with their popularization abroad, and therefore the advantages of open access directories are obvious.



**Eleonora Dagiene**, Chair of Council of The Lithuanian Association of Scholar Periodicals



**Meile Kretaviciene**, Director of Kaunas University of Medicine Library, Lithuania

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OPEN MINDS – AN INTERVIEW WITH MATTIAS COLLIN, PhD, ASSOCIATE PROFESSOR, DEPT. OF CLINICAL SCIENCES, LUND UNIVERSITY

Yvonne Hultman Özek

**Why did you start advocating OA?**

I was more and more frustrated by high page charges despite giving up the copyright to my own work.

**What inspired you to take an interest in OA?**

Online discussions- Especially the launch of the PloS family of journals have been a great source of inspiration.

**What benefits do you see and what obstacles?**

Mostly benefits - my work can be read by anyone anywhere. Some of the "big" OA journals charge too much in my opinion.

**What has happened as a result of your work?**

I was a bit of a OA pioneer in my research environment, but now I see a general trend with a move towards OA journals.

**Do you teach your students about OA issues?**

Yes, both on the Bachelor and Master levels.

**What are your experiences of publishing Open Access?**

Very good experiences in general! I think it is important to make a distinction between any OA journal and OA journal that also try to keep high scientific standards. The web is now getting swamped with journals that publish anything OA if you pay. In my mind that is the dark side of OA. OA is NOT an automatic quality stamp!

**What do you know about the attitudes of your colleagues?**

It has gone from very sceptical to positive. Some are still reluctant to submit to real OA journals, but most of my colleagues now at least consider paying for OA in other journals.

**Your reflections on the two roads to OA - gold and/or Green (parallel publishing e.g. in LUP)?" Pros and cons.**

I definitely favor gold, mostly because of visibility. Nevertheless I think systems like LUP serves a purpose. Everything that has been published at our University can potentially be found in one place.

**What are your views on the present publishing system?**

That is not a small question! I think the OA movement has vitalized the publishing world, but I am looking forward to new initiatives (maybe non-profit) that only serve the needs of the scientific community.

**What do you think about Elsevier's new proposal?**

I am disappointed that Elsevier makes it more difficult for authors to spread their work. I personally avoid Elsevier's journals if I have the choice.

([http://www.kb.se/openaccess/nyheter/2011/Nej-till-Elsevier-krav-pa-separata-avtal-om-parallellpublicering-/](http://www.kb.se/openaccess/nyheter/2011/Nej-till-Elsevier-krav-pa-separata-avtal-om-parallellpublicering/) )

**What do you think about the PLoS ONE peer review model? Will that be the model for scientific journals in the future?" (another example is "Scientific reports" from Nature Publishing Group)**

(<http://www.plosone.org/static/review.action>)

This is one of my favorite models for publishing! We have submitted many papers to Plos One and every time we have been impressed by the speed and quality of the review process. Reviewers and editors have been focusing on the soundness of the studies and not on timeliness, general interest, impact, and other more or less political reasons for acceptance/rejection. It is amazing to see that Plos One has become one of the largest science journals in just a few years, and that despite the fact that the aim was never to join the "impact game" the journal actually already has a decent impact factor.

### **What do you think will happen in the future?**

Open access will be the standard way of publishing.

### **Any thoughts about Open Data**

I am not sure I am qualified to answer, but I think open data in some areas is a question of democracy. For me it is important and quite unproblematic to make for instance demographic data freely available.

But since we have intellectual property driven economies, we have a long way to go before all kinds of data could be made freely available.

Some important discoveries might not be developed for the benefit of human kind if now one owns it. This might change in the future, but we have a long way to go!



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## OPEN ACCESS POLICY AT THE UNIVERSITY OF OSLO

Charlotte Børde

### Introduction

On the 6th of December 2011, the University Board of the University of Oslo adopted an Open Access policy regarding the self-archiving of scientific articles and theses in the University of Oslo's electronic, institutional repository.

The basis for this decision rests in the cross disciplinary and thorough work laid down by the University of Oslo in order to combine the technical, bibliographical, political and legal aspects of an Open Access policy. Equally important has been to involve all faculties and institutes as well as the employees unions in a broad hearing in order to have a strong foundation and well rooted decision within the institution.

During the last couples of years, there has been an increased focus on the self-archiving of peer-reviewed scientific articles and theses in order to make such documents publicly available. The term "self-archiving" usually means the deposit of an electronic copy of a scientific article or theses in an institutional, online repository in order to provide Open Access to it on the Internet. This is called the Green Road to Open Access, while another method - publishing in an Open Access journal - is usually referred to as the Golden Road. The Open Access policy of the University of Oslo implements the Green Road to Open Access.

This article will try to illustrate the political background and the legal aspects of the University of Oslo's Open Access policy, but will also briefly describe the institutional process leading to the new Open Access policy.

**Background: National and European guidelines and reports – Report concerning copyright at the University of Oslo of October 2009 and the University of Oslo's Strategic Plan for 2010 - 2020**

In Report no 30 to the Norwegian Parliament, Stortinget (2008-2009) Climate for Research, the

Ministry of Education and Research states that it wants as much openness as possible concerning research results. In principle, all publicly funded research data should be publicly available as long as this is *within the limitations set by law and regulations*. The Norwegian Association of Higher Education Institutions presented on 30 January 2009 a report<sup>1</sup> recommending a number of specific measures to contribute to making research results more openly available. At the same time the Research Council of Norway adopted new Principles for Open Access to Scientific Publications<sup>2</sup>.

Funding institutions are increasingly demanding that the research they are funding should be made publicly available via repositories linked to the Internet. In August 2008, the European Commission launched the Open Access Pilot<sup>3</sup> in the Seventh Framework programme (FP7) that will run until the end of the Framework Programme. It aims to ensure that research results funded by the EU citizen are made available to the population at large for free. For those institutions that have not created their own institutional repositories, the Commission has established OpenAire<sup>4</sup> providing a network of open repositories for the free online access to knowledge produced by scientists receiving grants from the Seventh Framework programme (FP7) and the European Research Council (ERC).

In December 2005, the Rector of the University of Oslo established a committee consisting of leading researchers from different faculties at the University of

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[http://www.uhr.no/documents/Rapport\\_fra\\_Open\\_Access\\_arbeidsgruppe.pdf](http://www.uhr.no/documents/Rapport_fra_Open_Access_arbeidsgruppe.pdf)

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[http://www.forskningsradet.no/en/Article/The\\_Research\\_Councils\\_Principles\\_for\\_Open\\_Access\\_to\\_Scientific\\_Publications/1240958527698?lang=en](http://www.forskningsradet.no/en/Article/The_Research_Councils_Principles_for_Open_Access_to_Scientific_Publications/1240958527698?lang=en)

<sup>3</sup> [http://ec.europa.eu/research/science-society/document\\_library/pdf\\_06/open-access-pilot\\_en.pdf](http://ec.europa.eu/research/science-society/document_library/pdf_06/open-access-pilot_en.pdf)

<sup>4</sup> <http://www.openaire.eu/>

Oslo, including two professors from the Faculty of Law, to review and give recommendations concerning intellectual property rights with regard to research results and teaching material created by university employees during the execution of their work duties. The report was delivered in October 2009<sup>5</sup>. In the report, the committee has carefully balanced the individual rights of the employees against the institution's needs to manage work results in accordance with institutional goals and societal demands. This report on copyright has been crucial for the further work within the institution, creating a firm legal foundation for the implementation of an Open Access policy.

The University of Oslo's Strategic Plan for 2010 to 2020<sup>6</sup> states that the university will adopt a *more comprehensive approach to the dissemination and communication of research. Priority will be given to the efforts to preserve and publicize scientific publications in open, institutional archives and to Open Access publishing.* The University Boards decision of 6 December 2011 is a further step towards increased access and sharing of publicly funded research.

### Copyright law and Academic Freedom

According to the Norwegian Copyright Act<sup>7</sup>, any person who creates a literary, scientific or artistic work shall have the copyright therein. Only natural persons can create such work, hence the copyright can not be generated by an institution. It is stated in the Copyright Act section 2 that it is the *exclusive right* of the copyright holder to dispose of such work by *producing copies* and by *making it available* to the public. Legally speaking, the self-archiving of a scientific article implies the production of an electronic copy for the institutional repository and making it available, online, to the public, thus affecting the core of the researcher's exclusive rights according to the Copyright Act. The employees of the university can not be deprived of these statutory rights by a unilateral decision of the institution's board. Neither can the head of administration make this kind of decision within the powers of the institution itself.

It must be rooted in a bilateral agreement, for example in the employment contract, as the University of Oslo has chosen to do (see section 4 below).

When adopting an Open Access policy it is equally important to secure and preserve the researcher's academic freedom. Academic freedom is a well established and fairly wide collective term, in Norway stated in the Act relating to Universities and University Colleges, section 1-5. One aspect of academic freedom is to protect the academic integrity of individual researchers and teachers. Academic freedom implies a great degree of academic autonomy of each employee, i.e. the researcher's right to choose subjects, methodology and practices. Important with regard to Open Access is the researcher's right to publish his or hers research findings<sup>8</sup>, including the researcher's right to choose *when* and *where* these findings should be published. An Open Access policy must not include elements that challenge these rights. The Open Access policy of the University of Oslo aims at preserving the individual's academic freedom while creating more openness.

### New Open Access policy and amendments to the employment contracts

The Open Access policy of the University of Oslo will enter into force the 1 January 2012. According to this policy:

1. All personnel employed after 1 January 2012 shall deposit a post print<sup>9</sup> version of scientific articles created in the course of their duties in the electronic, institutional repository<sup>10</sup> of the University of Oslo. Personnel employed before this date are encouraged to follow the same regime. If the employee has published in a journal that does not allow the deposit in an institutional repository, the employee is exempted from this duty. The same applies if one of the co-authors rightfully refuses to consent.

<sup>5</sup> Utredning om opphavsrett ved Universitetet i Oslo, oktober 2009

<sup>6</sup> <http://www.uio.no/english/about/strategy/Strategy2020-English.pdf> page 10

<sup>7</sup> Act no 2 of May 1961 Relating to the Copyright in literary, scientific and artistic works

<sup>8</sup> Act no 15 of 4 April 2005 relating to universities and university colleges, section 1-5

<sup>9</sup> Final peer-reviewed manuscript accepted for publication

<sup>10</sup> DUO Digital publications at UiO  
<http://www.duo.uio.no/englishindex.html>



2. All personnel engaged after 1 January 2012 *shall* make their best effort to ensure that the deposited article thereafter is made available Open Access as soon as possible through the electronic, institutional repository of the University of Oslo. Personnel engaged before this date is encouraged to follow the same regime.
3. If two or more publication channels are equal as regards subjects, the University of Oslo recommends that the employee chooses to publish in the journal that make the article publicly available either through self-archiving in an online repository (Green Road) or through an Open Access Journal (Golden Road).

From 1 January 2012 the standard employment contracts for scientific and technical-administrative personnel will contain an addendum concerning the electronic deposit and subsequent online publication through the university's repository in line with the newly adopted Open Access policy. As mentioned above, the obligations according to the policy are based on a bilateral agreement in connection with the employment contract. The policy can not be given retroactive effect for personnel engaged before this date. However, the technical and administrative system implemented to comply with the Open Access policy is made as simple as possible in order to invite and encourage all personnel to comply. Self-archiving requires copyright clearance. As described above, the researchers have initially exclusive rights to their scientific articles. Through the publishing agreement, the researcher transfers copyright to the publisher. The obligation that rests on university personnel *to make their best efforts* in order to comply with the Open Access policy, implies that the researcher sends a ready made standard letter and standard addendum to the publishing agreement along with the article when the article is first sent to the journal. These documents will be easily available for all employees on the University Web. This system is very similar to the system adopted by the Commission in the Open Access Pilot launched in 2008. Thus, many of the researchers at the University of Oslo are already familiar with the system.

Having adopted an Open Access policy, the University of Oslo may enter into institutional agreements regarding copyright clearance with those publishers that offer such agreements. When an institutional agreement is signed between the university and the publisher, the researcher is exempt from sending the standard letter for copyright clearance mentioned above. Consequently, the administrative burden for the researcher is left to a minimum.

By giving the employees the ultimate right to choose where and when to publish, by including the obligations of the Open Access policy in the new employment contracts and by not giving these obligations retroactive effect, the University of Oslo has preserved the employee's academic freedom and their rights according to the Copyright Act.

### **Institutional process**

As mentioned above, the Rector established a committee to review and give recommendations concerning intellectual property rights in 2005. The committee's report was delivered in October 2009. In parallel with this work, Open Access was discussed and prepared politically, technically and bibliographically within the institution. The University of Oslo Strategic Plan for 2010 to 2020 was adopted by the University Board 27 April 2010 with recommendations on Open Access. On 20 May 2011, a draft Open Access policy along with a draft addendum to the employment contracts was sent on a broad hearing to all faculties, institutes and centers within the university as well as the student parliament and the employee's unions. Deadline for the hearing was set to 15 August 2011. On 20 June 2011 the university arranged a discussion meeting<sup>11</sup> with representatives from the employee's unions. The 3 November 2011 the proposal was discussed in the Rector meeting. On the 6th of December 2011, the University Board of the University of Oslo adopted<sup>12</sup> a new Open Access policy regarding the self-archiving of scientific articles and theses in the University of Oslo's electronic, institutional repository.

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<sup>11</sup> Hovedavtalens § 12 nr. 2

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[http://www.uio.no/om/organisasjon/ledelsen/styret/moter/kart\\_pr ot2011/7/sakskart.xml](http://www.uio.no/om/organisasjon/ledelsen/styret/moter/kart_pr ot2011/7/sakskart.xml), V-sak 6 saksnr. 2009/16304



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*Photo: Francesco Saggio*



## STRATEGIC PUBLISHING RULES – A MANUAL FOR RESEARCHERS

Peter Linde, Håkan Grahn

### Background

In June 2007, Blekinge Institute of Technology, as the first Swedish education institution, introduced an OA mandate<sup>1</sup> which not only "recommended" researchers to publish in Open Access journals but that actually emphasized the word "shall". The policy is short and is quoted here:

*"The Vice-Chancellor decides that each scientific article (journal-, conference article or other referee-reviewed documents) published by personnel employed at BTH shall be deposited as a copy in electronic form, with bibliographic data, in the BTH research database. Free access to the documents will be given via the database when copyright- or secrecy regulations do not prevent this. Researchers at BTH should, as a first choice, aim at publishing their research articles in freely accessible scientific journals when an appropriate journal of this kind exists, and, as a second choice, with the publishing firms that permit self-archiving of post-print documents."*

After BTH made the decision about this policy, quite a few things have happened in the area of OA in Europe: Within EU new discussions around Open Access and policy matters have been initiated. The Seventh Framework Programme (FP7) has at its disposal over ca. 55 billion euros from 2007 to 2013. In 20% of the entire framework programme, a pilot study has been opened with the requirement that documents produced within the programme must be published OA.

In the document "A digital Agenda for Europe," the European Commission lays down that:

*"Knowledge transfer activities should be managed effectively and supported by suitable financial instruments and publicly funded research should be widely disseminated through Open Access publication of scientific data and papers [...] To this end the Commission will appropriately extend current Open Access publication requirements..."*<sup>2</sup>

In the vision document "Europe 2020 Flagship Initiative Innovation Union," the Commission says the following:

*"The Commission will promote open access to the results of publicly funded research. It will aim to make open access to publications the general principle for projects funded by the EU research Framework Programmes".*<sup>3</sup>

These formulations, together with the launching of network- and infrastructure strengthening OA projects such as DRIVER<sup>4</sup> and OpenAIRE<sup>5</sup>, contribute to the increase of interest in reviewing and upgrading local publishing systems that work in the same directions. Sweden has, also, nationally and in the recent years, experienced fewer words and more deeds.

Major Swedish research funders, as for example the Research Council and the independent foundation RJ [Riksbankens Jubileumsfond], have introduced regulations requiring that research documents published with the assistance of their money must be freely accessible; information work about OA has been carried out at most universities and higher education institutions; Chalmers introduced a forceful OA policy 2010<sup>6</sup> as did Malmö University the same year<sup>7</sup>. At the same time, the publishing units at the university libraries receive increasingly more inquiries from researchers who are at a loss and who practically drown in more or less serious offers to publish from an increasing amount of publishing firms. This

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<sup>3</sup> Europe 2020 Flagship Initiative Innovation Union : Communication From The Commission To The European Parliament, The Council, The European Economic And Social Committee And The Committee Of The Regions. Brussels, 6.10.2010 COM (2010) 546 final. Page 19

<sup>4</sup> Digital Repository Infrastructure Vision for European Research. <http://www.driver-repository.eu/>

<sup>5</sup> Open Access Infrastructure for Research in Europe. <http://www.openaire.eu/>

<sup>6</sup> Chalmers Open Access Policy: [http://www.chalmers.se/en/sections/about\\_chalmers/policies-rules/open-access-policy](http://www.chalmers.se/en/sections/about_chalmers/policies-rules/open-access-policy)

<sup>7</sup> Malmö University's Open Access Policy: [http://www.mah.se/upload/GF/dokument\\_mah/OA\\_policy\\_2010\\_11\\_11.pdf](http://www.mah.se/upload/GF/dokument_mah/OA_policy_2010_11_11.pdf)

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<sup>1</sup> BTH Open Access Policy:

<http://www.bth.se/fou/forskinfor/nsf/textpages/bth-oa-policy>

<sup>2</sup> A digital Agenda for Europe. Brussels, 19.05.2010 COM(2010)

circumstance, combined with the pressure to produce and publish and pressure locally and nationally to publish in journals indexed in ISI Web of Science, results in the researchers' need for a descriptive manual that practically describes how to go about fulfilling all the conditions that funders, university managements and research leaders make.

BTH is not alone in the world of Swedish universities and higher education institutions in trying to, with different means, motivate researchers to publish in ISI-indexed journals as an adjustment to the resource distribution- and evaluation system of Swedish research policy. This means that we have to stimulate ISI publishing at the same time as we want to comply with the research funders' requirements and make use of the advantages that open access to the BTH research publications give in the form of increased exposure and accessibility. With the creation of our publishing rules, we believe that we have found a tool that meets both goals.

One-sided categorical imperatives from the top down usually present difficulties when it comes to reaching out, and especially if the instructions and prerequisites of meeting the requirements are insufficient. The BTH OA policy is a good example of this. Not until you offer the researchers tools, clear instructions and an active support will you see the beginning of respect for and compliance with the policy.

### Before and after

BTH has ca. 250 researchers and doctoral candidates and has had its in-house developed publishing database running since the end of the 90's. Ever since then we have, at the library, tried to influence researchers to enter bibliographic information about their documents and, if possible, also self publish<sup>8</sup> full-text documents.

To answer the question on how the BTH OA policy, and the library's OA activities in relation to it, have affected the self publishing of full-text articles, the BTH institutional repository<sup>9</sup> was used to retrieve reviewed journal articles and conference articles that had been published between 2005 and 2010. In this

<sup>8</sup> A majority of scientific publishing firms permit parallel publishing or so-called self-archiving, i.e., that researchers in their local publication database to the bibliographic post add an author's version of the article, i.e., the last reviewed version that the author submitted to the publishing firm.

<sup>9</sup> <http://www.bth.se/fou/>

way we could compare the three-year production of articles before the OA policy to the three-year production after the OA policy.

The questions that were asked were: How many articles were published in OA journals and how many were self-archived? Could you see a difference before and after the policy?

The services SHERPA/RoMEO<sup>10</sup> and DOAJ<sup>11</sup> were used to see which of the relevant journals used OA as a business model.

Between 2005 and 2010 there are 412 reviewed journal articles registered in the institutional repository. Of these 107 are self archived in the institutional repository. 31 of the 412 articles are published in OA journals. Slightly more than every fourth journal article was self archived and barely 8% of the articles during the period were published in OA journals. The dominating way to freely make articles accessible is thus self archiving. Through self archiving in local institutional repositories, the libraries in the simplest and most efficient way can support researchers in making their documents freely accessible.

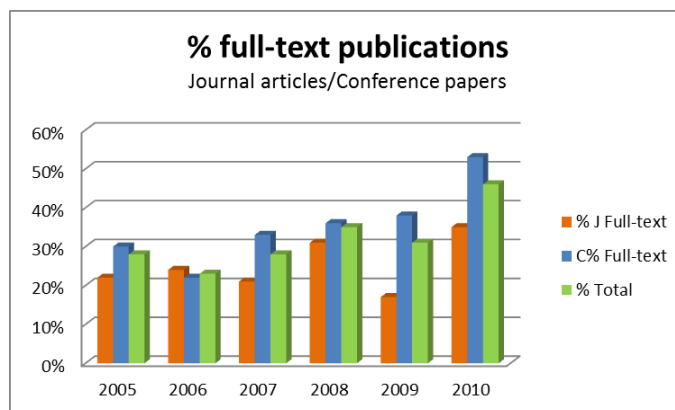


Figure 3. The figure shows the share of BTH articles that have been parallel published.

### Practical help from the library

The columns in Figure 3 indicate that something happened after 2007. The numbers point to a relatively substantial increase of self archiving in the last years. A probable cause for the increase is the work that the library has done to actively support researchers to self archive in the local institutional repository. This work has been done in accordance with the recommendations in the national project "Parallellpublicering av vetenskapliga artiklar (Parallel publishing of scientific articles)"<sup>12</sup> funded by the

<sup>10</sup> <http://www.sherpa.ac.uk/romeo/>

<sup>11</sup> <http://www.doaj.org/>

<sup>12</sup> Parallellpublicering av vetenskapliga artiklar – slutrapport

National Library of Sweden (the Royal Library) 2008 - 2009. The following recommendations were among those given in the study:

- Automatic generation of front endpaper in the local systems.
- Simplified registration in the local systems.
- Increased work of assistance from the library, both in terms of information work and in terms of support to researchers who self archive.
- Clear requirements and guiding principles for self archiving from research funders and higher education institutions.

All these recommendations have been carried out at BTH which has contributed to an increase of ca. 50 % between 2009 and 2010 of the number of self archived articles; from 30 % to 45 % of all published journal- and conference articles.

### **Reward system and research strategy**

At the same time as the number of self archived publications has increased, the number of published journal articles in ISI has also increased substantially in the last years. On the part of the institute it was important to find an incentive structure to increase the number of journal articles indexed in ISI Web of Science. The reason was that part of the research resources from the Ministry of Education and Research (internal funding/basic funding) was allocated on the basis of how many journal articles respective university and higher education institution has indexed in ISI Web of Science. The Faculty Board has, since the end of 2009, allocated a pool of their strategic funds to reward the researchers who publish in journals indexed in ISI Web of Science. For each journal article, the researchers at BTH can credit themselves and their school 30.000 SEK.

If you look at the publishing of BTH researchers' journal articles and conference articles listed in the ISI index during the period 2005-2010, the increase is evident. The number of journal articles in ISI has increased by over 100% from 24 in 2005 to 58 in 2010. In other words, the initiative taken by the Faculty Board to allocate strategic funds has been very

successful. For conference articles the tendency is that slightly more than every third conference article ends up in ISI. This pattern is irregular if you study year by year which may depend on the fact that the indexation of conferences is under development and significantly less stable in ISI than the journal indexation.

### **Publishing rules**

In order to further facilitate to the researchers the acceptance and affirmation of a collected idea around research publishing, the Faculty Board and the Library took the common initiative to a document that would contain rules, ideas behind the rules and explanations on how to meet the requirements of the rules. The guidelines for visibility that the management took the initiative to in 2009, together with the core of the BTH OA policy, form the basis of this document<sup>13</sup>. The ambition is to at the same time build on the terms descriptive and constructive and to construe a document of three parts: 1 Principles. 2. Background/Explanation and 3. A manual with instructions on how to live up to the principles and the support that exists to accomplish this. The suggestion was referred to the schools for consideration during the spring of 2011 and a decision was made by the Faculty Board in the summer of 2011. The nine publishing principles are:

1. Publish, if possible, as a first choice in channels that are perceived as leading and that publish the most significant publications from researchers in different countries. Publish, if possible, in journals that are indexed in ISI.
2. Publish journal articles as a first choice in journals whose business model is Open Access or with publishing firms that permit parallel publishing.
3. All published documents must be entered as bibliographic references in the BTH institutional repository.
4. All referee-reviewed publications must be entered as full-text files in the BTH institutional repository if copyright or secrecy rules permit this.
5. All publications must have the affiliation: Blekinge Institute of Technology. Use

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PAVA-projektet (Parallel publishing of scientific articles – final report of the PAVA project).  
[http://www.kb.se/Dokument/Om/projekt/open\\_access/pava\\_slutrapport\\_090402.pdf](http://www.kb.se/Dokument/Om/projekt/open_access/pava_slutrapport_090402.pdf)

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<sup>13</sup> Publication rules for researchers at Blekinge Institute of Technology.  
<http://www.bth.se/fou/Forskinfornsf/Sok/8389c16ff85eb733c12578ff00412acb!OpenDocument>

- Firstname.Lastname@bth.se when stating the email address.
6. Avoid, if possible, transfer of copyright.
  7. Licentiate- and doctoral dissertations are designed with a standard cover and front endpaper.
  8. Material that is not published via customary channels should use the BTH report series.
  9. The Library yearly provides the Faculty Board with analyses of the schools' scientific publications in regard to publishing activity and impact. The analysis builds on the method produced at Stockholm University which is based on the so-called Norwegian model.

The publishing rules are each tied to one background/explanation and to one instruction. As an example of this we may have a closer look at rule #2 *"Publish journal articles as a first choice in journals whose business model is Open Access or with publishing firms that permit parallel publishing."*

To this rule the following background/explanation is given: *"There is a growing requirement of making scientific publications freely accessible on the net. In Sweden, research funders such as the Research Council, Formas, and the independent foundation RJ (Riksbankens jubileumsfond) require this. The Association of Swedish Higher Education recommends Open Access as does the Royal Swedish Academy of Sciences. The Ministry of Education and Research advocates the shaping of a national OA policy. Outside of Sweden, the National Institute of Health (USA), the European Research Council, the Seventh Framework Programme etc. have made far-reaching decisions in the same direction. We can expect an increase in the requirements for accessibility. At the same time, research indicates that documents that are freely accessible are cited more. This increases the visibility for research and researchers at BTH at the same time as it may have a positive effect on our research grants (see item 2.1)."*

The Manual then describes how the researcher needs to proceed to practically comply with the rule: *"Most journals in ISI use a traditional subscription model. But increasingly more pass over to offering complete or partial Open Access. The idea behind one of these new business models is, upon acceptance of the article, to have the author pay a publishing fee to cover the costs up to publication when the article becomes freely accessible. Usually this cost is 1500-3000 USD. Some journals allow all articles to be accessible without restrictions."*

*Other subscription-based journals may choose a so-called hybrid solution. Hybrid journals are journals that are based on the traditional subscription-based access but where the author has the possibility make an individual article freely accessible by paying a publishing fee. Most of the major publishing firms offer this possibility for a part of or all of their journals. You will find a list of Open Access journals and hybrid journals at DOAJ (Directory of Open Access & Hybrid Journals):*

*<http://www.doaj.org/>.*

*A full-text version of your article can, in most cases, be added to the bibliographic item that you enter in the BTH publishing database. This is called "parallel publishing" or so-called "self archiving". Most publishing firms permit researchers to parallel publish an author version of the article, i.e., the last reviewed version that the author sent to the publishing firm.*

*Information about the OA policies of most publishing firms and journals, and about their possible permission to parallel publish, can be found through the service Sherpa/RoMEO, which is run by the University in Nottingham: <http://www.sherpa.ac.uk/romeo/> Guidance to Sherpa/RoMEO can be found here:*

*<http://www.bth.se/fou/forskinfo.nsf/textpages/d943e30c0f5a2b0bc12577ed004fb43c!OpenDocument>*

*Read more about Open Access and different business models here:*

*<http://www.bth.se/fou/forskinfo.nsf/textpages/about-open-access> ."*

The ninth and last paragraph is about the fact that the BTH Library provides the Faculty Board with regular statistics to, in some way, indicate how the publishing strategy works in reality – does publication increase in high-qualitative publications?; what does the relation between different publishing channels look like? Etc. The idea is to have the analysis results offer an overview of production and quality at BTH and in addition support strategic decisions concerning research publishing.

The analysis is done once a year. The basic data for the statistics are retrieved from the BTH institutional repository. The statistics that are produced are based on the so-called "Norwegian model"<sup>14</sup> that can be said to combine productivity and quality but instead of measuring citations the emphasis is given to the extent

<sup>14</sup> Vekt på forskning (2004). Rapport från norska Universitets- og Høgskolerådet (Importance of research) (Report from the Norwegian council of universities and higher education institutions) ([www.uhr.no/documents/Vekt\\_p\\_forskning\\_sluttrapport.pdf](http://www.uhr.no/documents/Vekt_p_forskning_sluttrapport.pdf))



at which publications appear in channels of great scientific weight.

At BTH, our point of departure has been the working method elaborated at Stockholm University<sup>15</sup> with its basis in the Norwegian model. The model has since 2008 been used at Stockholm University but also at the universities of Lund and Uppsala.

### Summary and discussion

It is evident that researchers at BTH need support and advice to comply with the OA policy of BTHs, the visibility requirements from the management, not to mention the policy regulations of different research funders. The results of the intensified work the last two years when it comes to supporting OA publishing indicate this. To have a well-anchored document that shows the direction of travel, that explains why it has been marked out and how we need to act to get ahead feels like a welcome support, above all to us who work with the matters and to doctoral candidates and junior researchers.

There is, certainly, a problem when it comes to indicating a special group of journals in a specific index as the most desirable publishing channel, particularly if this index is unbalanced in terms of subjects<sup>16</sup>. The basis of the strategy is, however, above all to raise the level of awareness and point out the importance of long-term publishing in journals of high quality and extensive circulation radius.

To advocate Open Access at the same time as you encourage publishing in journals with a traditional subscription-based business model may seem contradictory, but a full-text version of a journal/conference article published in a channel locked by subscription, may, in most cases, be added to the bibliographic item that is entered into the BTH institutional repository. By supporting this so-called parallel publishing we can, at the same time, promote openness and adjust to national and international bibliometric measurement mechanisms based on, among other things, citation counts.

It is, ultimately, a matter of making visible the publications of the organization at the same time as trying to make researchers aware of the different evaluation systems that are applied to the research and that are of importance for the funding and the understanding of the surrounding world in regard to the work done. One cannot any longer overlook the fact that research work is exposed to competition and to keep as high a production and quality as possible is more important than ever. To succeed you have to sharpen your arms, which, among other things, means being visible, giving free access to your publications and being cited in the most prestigious channels as often as possible. Well-anchored publishing rules constitute an important tool in a strategic plan towards this goal.



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<sup>15</sup> Ahlgren, Per. Vikt på forskningspublikationer (Weight on research publications). [http://www.sub.su.se/omsub/doc/bibliometri/no\\_modellen\\_intro.pdf](http://www.sub.su.se/omsub/doc/bibliometri/no_modellen_intro.pdf)

<sup>16</sup> Steele, Colin; Butler, Linda; Kingsley, Danny. The publishing imperative: the pervasive influence of publication metrics. *Learned Publishing* 2007. Vol. 19:4. Pp. 277-290.

## THE GEOGRAPHY OF SCIENCE – AN EXAMPLE FROM CHALMERS

Stina Johansson

There are numerous possible forms of collaborative research. The first examples that come to my mind are collaboration between and within disciplines, universities and industries, national research collaboration, which involves researchers belonging to the same country and international research collaboration which involves scientists belonging to more than one country. When taking part in a research assessment of the eight Areas of Advance at Chalmers<sup>1</sup>, the bibliometricians at Chalmers Library<sup>2</sup> were interested in all of the above forms of research collaboration. We asked ourselves: Who are Chalmers research partners? How international is Chalmers? And how can “the geography of Chalmers” be visualized? In our quest to visualize the collaboration network of Chalmers, we came across a recent study by Olle Persson and Loet Leydesdorff on the “Mapping the Geography of Science” (2010).

In bibliometrics, research collaboration is studied through co-authorship analysis. One can say that the method used operationalizes the activity studied. From a bibliometrician’s way of looking at research collaboration, contributors in research collaboration tend to become authors, and evidence of research collaboration is therefore found in multiply authored papers. (Hicks & Katz, 1996) As early as 1963, Derek J. de Solla Price reported on a steady increase of authors per publication - indicating that collaborative research was growing in depth and size (Price, 1963). Today, research collaboration is often referred to as being the norm of conducting science. Its activities are believed to have several benefits, for instance cross-fertilization of ideas and cost cuts in research infrastructure and training of personnel. These intellectual and cost related benefits are also believed to grow as the distance between the research partners increases. You are more likely to find a better match the greater search radius you allow. (Hoekman et al., 2010) What is more, articles produced through international collaborative projects tend to be cited

more frequently, on average, than their national counterparts. (Narin et al., 1991; Hoekman et al., 2010) Over the years, numerous initiatives have been launched to bring different constellations of researchers, disciplines, universities and industries together in larger groups. (Katz & Hicks, 1996) On the European level, there is the European Union’s research policy, which encourages formal international linkages among member states, through the program *European Research Area* (ERA). Central to the research policies and activities within ERA are the *Framework Programmes*, which are designed to promote R&D cooperation between the EU member states. Its’ main purpose is to improve research collaboration and communication between scholars, researchers, engineers and industries (Hoekman et al., 2010). To get ideas on how to visualize the geography of Chalmers we turned to recent bibliometrics literature on the subject of mapping. Leydesdorff and Persson (2010) report on newly available methodologies for projecting research collaboration patterns (“the geography of science”) on the world map. With Leydesdorff and Persson’s thorough manual in hand<sup>3</sup>, a map of all of Chalmers articles, reviews, proceeding papers and letters available through Web of Science published in 2011 was produced. The data was collected from Web of Science; the names and the locations of institutions occurring in the address field were then extracted. These were in the next step put into GPS Visualizer<sup>4</sup>’s geocoder (a program on the internet of free use). Through the geocoder, the geographic positions of the institutions (longitude and latitude) were produced. In Excel, the positions produced through the Geocoder were added to the names and frequencies of the institutions. The text string was produced in Excel was again put in GPS visualizer and a map was made. On the map one finds 873 circles, i.e. 873 institutions other than Chalmers are present in the address fields of the selected publications. A circle on the map represents a contribution to one or more of the publications, i.e. if

<sup>1</sup> <http://www.chalmers.se/en/Research/Pages/default.aspx>

<sup>2</sup> <http://www.lib.chalmers.se/libraryinfo/>

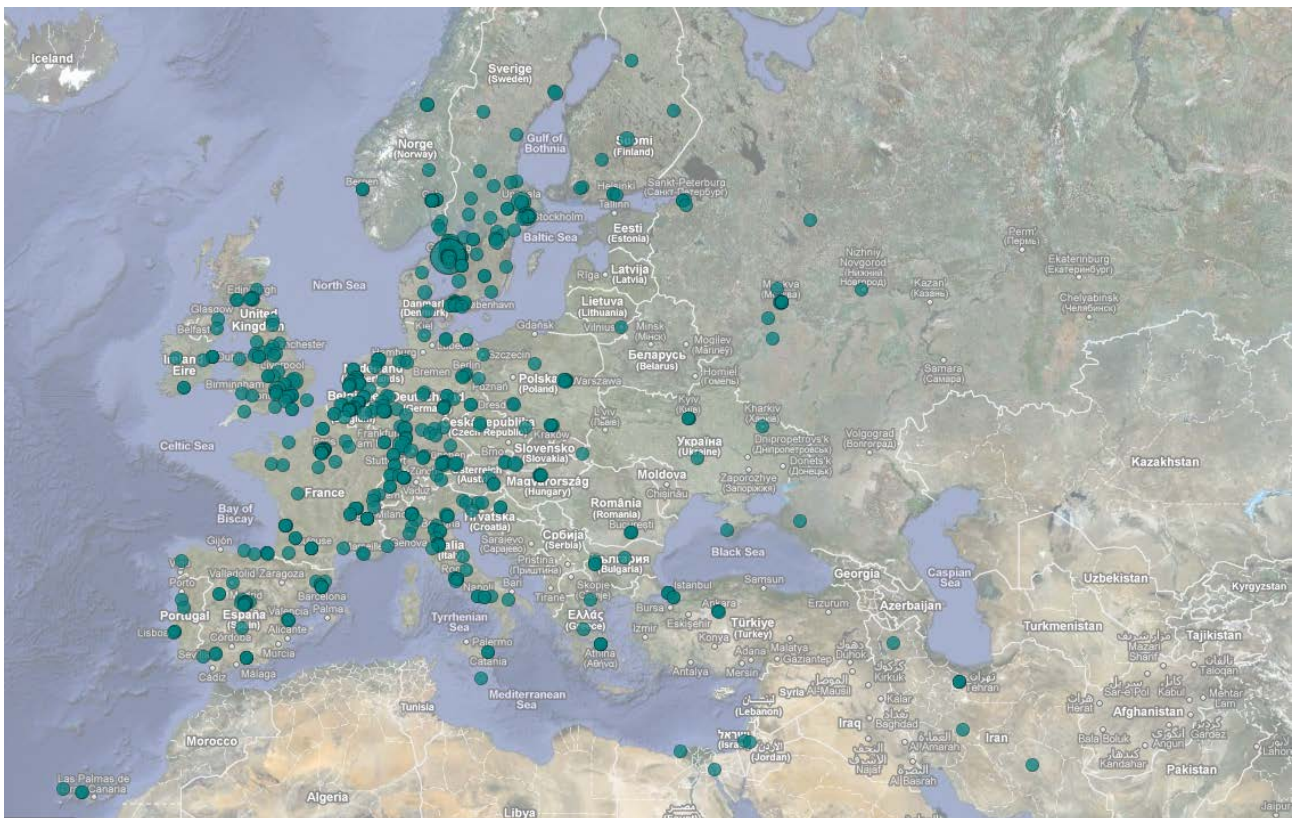
<sup>3</sup> Among other things, the manual also offers instructions on how to integrate Pajek into the geographic mapping.

<sup>4</sup> <http://www.gpsvisualizer.com/>

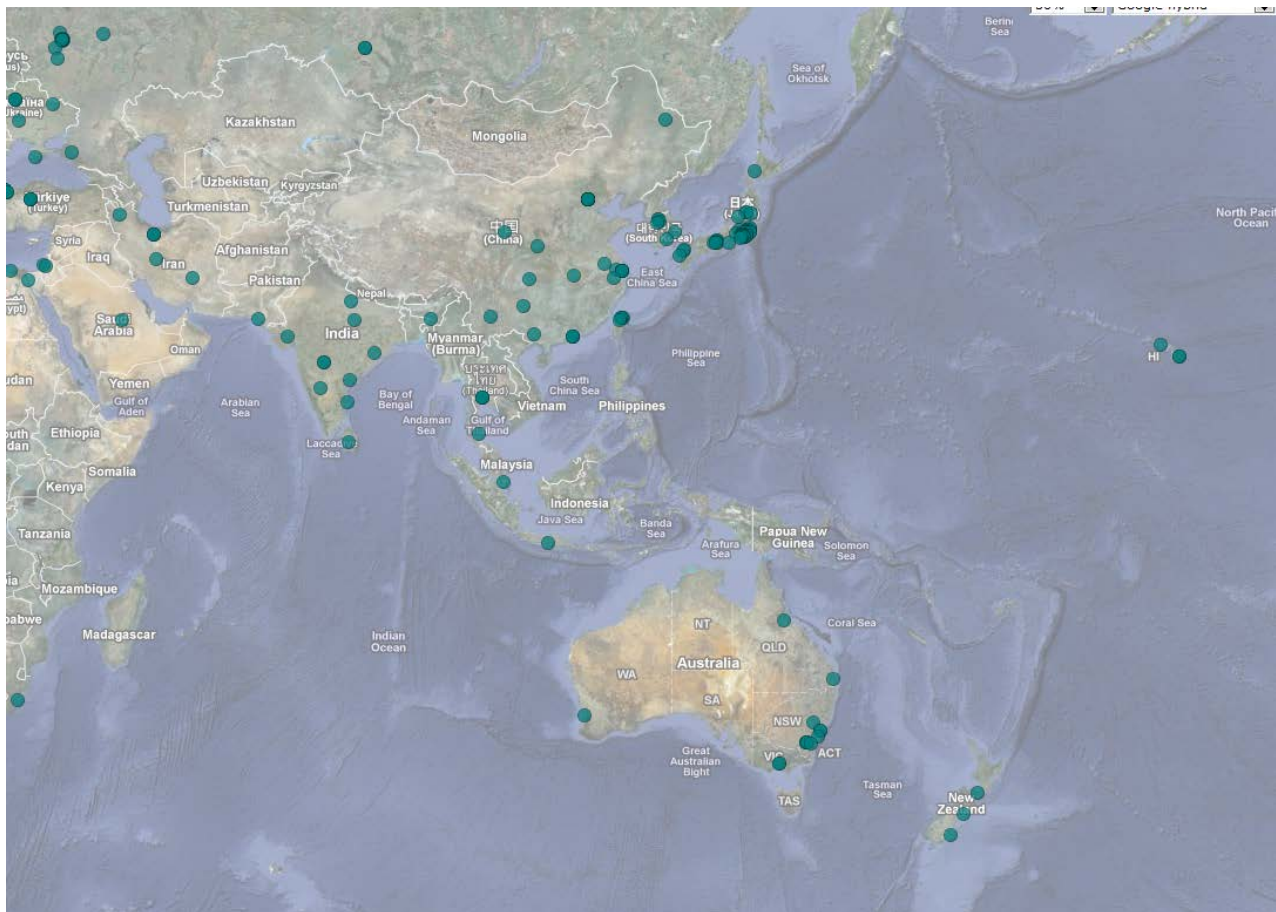
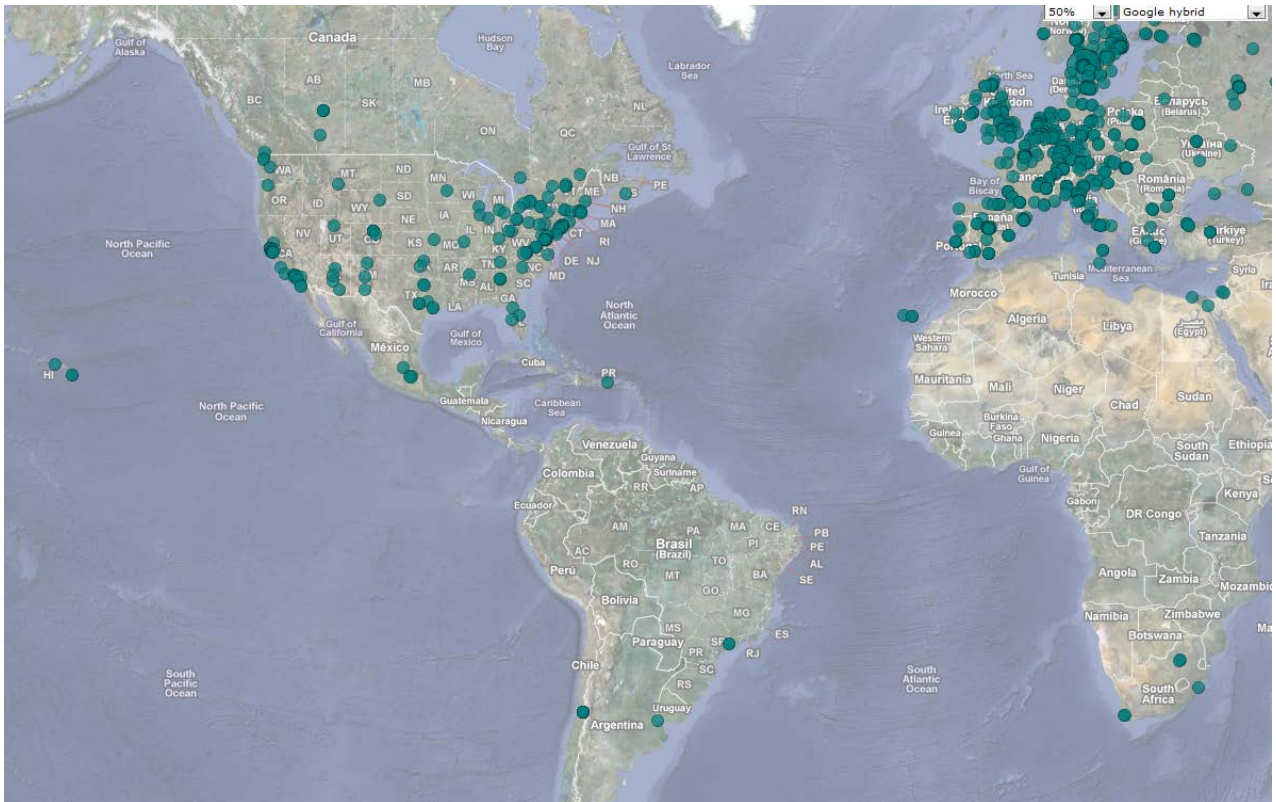


e.g. the University of Gothenburg is present in any of the address fields of the publications mentioned from 2011, you will find a circle representing University of Gothenburg put on the coordinates of the city of Gothenburg. The size of the circle is dependent on frequency. As you may have noticed, the circle representing University of Gothenburg is the biggest circle on the map – University of Gothenburg is also the institution that is most frequently occurring in the address fields of the Chalmers publications published in 2011. When looking at the map, you're also able to zoom in and out. If you are interested in a certain region or country, e.g. Germany, double click where you want to put your focus while zooming in, then on the left hand side of the map, you find a zoom in and out function

As the world map shows us most of Chalmers research partners are situated in Europe. This map also shows us that there is a spread of research partners across all continents. A closer look at the map shows us the names of research partners, ranging from academia to industry. A next step in this small quest could be to “redraw” the map at a later point, and see how and if the geography of Chalmers changes over time. Now we ask: *How will the geography of Chalmers look in a few years' time?*







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<http://www.gpsvisualizer.com/>, 2011-11-30, 09.40



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## TALKING ABOUT OPEN ACCESS

Anne Sandfaer

One of the issues that have been vigorously debated in the academic community in recent years is Open Access (OA). Studies and reports on access or the lack of it, have been performed both on a national and international level, conferences and workshops have OA on the agenda, and there are discussions for and against in professional fora, some of them quite heated. Many parties have an interest in the area, from commercial publishers and scientific journals' editorial boards to funding organisations, research councils, research institutions and of course the individual researcher.

Knowledge Exchange is a partnership between Denmark's Electronic Research Library (DEFF), Deutsche Forschungsgemeinschaft (DFG), the Joint Information Systems Committee (JISC) in the UK and SURFfoundation in the Netherlands. Through the years KE has worked to raise awareness of OA and has been contributing to the pile of reports and studies that exist in this area. During 2011 we decided to take a slightly different approach and present the good story peer to peer in order to relate the more fundamental discussion to daily life and reality – a reality that might look different depending on where you are in the food chain. This has resulted in the launching of the oastories.org website.

There are known examples of successes, including BioMed Central, the big English Open Access publisher and PLoS (Public Library of Science), a non-profit publisher and membership organization. What we in KE wanted was to focus on examples where OA has made a difference, a difference to the author, to the publisher and to the end user at the receiving end.

We hired a journalist to trace people, journals and organisations with a good story to tell. She followed hints and traces, often directed from one story to another, and we realised that at all levels success stories popped up, telling that publishing OA is a viable option.

One of stories is the story about First Monday, a 15-year old Open Access journal on the internet with a broad readership. The journal was launched in May 1996 by editor Edward Valauskas together with the Danish publisher Munksgaard, who was interested in experimenting with new ways to publish. The journal is now among the longest established and most respected peer-reviewed electronic journals on the Internet and read in 180 different countries.

The Tetris game can be used for more than entertainment. This is the result of research and findings of Professor Emily Holmes and her colleagues. Their research showed that the game can be used to treat flashbacks in patients suffering from severe trauma. The results were published in an Open Access journal and have won great interest among both specialists and laymen.

Yet another story concerns Professor Richard Clapp of the University of Boston, who in 2006 published an article in the Open Access journal Environmental Health on mortality among IBM employees. To make the article publicly available to everyone - other scientists, IBM employees, the industry and the general public - may seem obvious, but it took more than two years of struggle to get there. It included a boycott from the editorial board of an Elsevier journal, media awareness about rights and court cases. The article was published in the Open Access journal Environmental Health - one of the first Biomed Central journals where the editor-in-chief Philippe Grandjean from the University of Southern Denmark gladly accepted it.

Over 30 stories are in the first batch and we get many inquiries from interested parties willing to tell their story. The site will be updated with stories on a regular basis and with the opportunity to comment on them. Also the site, in whole or in part, can be downloaded and reused in other contexts, as it is released under a Creative Common license. Read more stories on <http://oastories.org> and if you have one to share, please contact the Knowledge Exchange Office [office@knowledge-exchange.info](mailto:office@knowledge-exchange.info).



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