

NORDBIB – A SUCCESS STORY

Jon Duke, Andy Jordan¹

Nordbib is a four-year programme, designed to create a joint Nordic approach to Open Access and to the distribution of research results, particularly in the scientific domain, to which DKK 10 million is being contributed by NordForsk. It was established in 2006 and so, in order to prepare for the end of this first funding round and for its future after 2010, its Board commissioned us to carry out an evaluation which we completed in mid 2009. We were asked to assess the benefits of the programme, to establish how well its structure has worked and to identify the best way in which the partners in Nordbib can further their vision of the programme.

Our approach to the task was evidence based. There is a substantial amount of documentation about Nordbib available on the Web, but there is no better way of understanding a programme and its process than by talking to those involved. So we spoke to about 30 people who were stakeholders, sometimes engaged in the programme in more than one way. Some were involved in the management of the programme and its governance, others in undertaking projects and some had attended one or other of the workshops organised under the Nordbib banner. We took a semi-structured approach to the interviews, giving the stakeholders prior warning of the topics we wanted to discuss, but allowing the conversations to range beyond the boundaries of those topics when stakeholders wished.

Nordbib is of course centred on the five Nordic countries: Denmark, Finland, Iceland, Norway and Sweden. We found that the Nordic dimension meant that, whether people or countries are being discussed, there is a basic shared understanding of cultural values. For example, although each country has its own language, several of these languages are spoken and sometimes officially recognised in more than one country. This pervasive cultural affinity means that it is easy for individuals, projects, or the programme's management groups to share and reinforce a common vision for the programme regarding issues such as good practice, conducting joint developments, sharing

the cost of projects and indeed sharing project outcomes. The cooperation between the countries and their concerted approach is now widely recognised on the international stage.

The benefit of the Nordic dimension is the ability to share problems common to the participating countries.

All the countries involved have small populations, which puts a limit on the resources available for development within a single country. Iceland – the smallest country involved – has in particular obtained real benefits from Nordbib.

Nordbib's initial design was largely drafted by Hanne Marie Kværndrup, who became the first programme manager. She brought to the programme a singularly clear vision of its purpose and a great breadth of knowledge of its participants. The dialogue accompanying the design of the programme was a lengthy one. Nordbib's predecessor, Nordinfo, had ceased in 2004 and it took until 2006 to ensure that funding was in place and to have the programme up and running. There is widespread agreement that those involved in its design had done a good job in setting up a programme that is both lean and well focussed.

Nordbib has two principal aims. The first is to develop recommendations to help Nordic countries in their development of Open Access policies. The second is the creation of a network of development environments in research libraries, universities and research institutions, which work together to strengthen Nordic research communication.

It is clear that Open Access and scientific publications provided a relevant and timely choice of focus for the programme. Nordbib has given Open Access a pan-Nordic dimension. The programme has set OA in both Nordic and European contexts and has successfully given prominence to the pan-Nordic aspects of OA.

The programme is thus based upon shared cultural heritage and a largely shared linguistic history. Its aims are about the sharing of research outcomes. It is therefore heavily based upon communication and, whilst this has been very successful overall, it is an area about which stakeholders have suggested scope for

¹ Dr Jon Duke and Dr Andy Jordan are the directors of Duke & Jordan Ltd. The company specialises in providing consultancy services to higher and further education. The work of the company relates in general to information services, both IT and library oriented. It has carried out substantial work for the JISC in the UK.

improvement. Nordbib has achieved its ends by operating in two principal ways: it has part funded projects and it has organised workshops, to which invitations were extended to individuals with specific expertise. The workshops have proved to be a very successful part of the programme and many of those we spoke to told us how good, informative and useful the workshops had been. They particularly cited the benefits of peer networking, and told us how beneficial it was to be able to share problems and solutions with people from other institutions and countries. The projects, which were quite deliberately only funded by Nordbib to 40%, adhered to the multi-nation vision by requiring the involvement of partners from at least 3 countries: other funds had to be found to make up the difference, though this has often been in kind, for example by providing staff time. This funding model was considered to have given good value for money because of the high local contribution. On the other hand, the need for at least three countries to be involved was found to make it difficult for some prospective bidders, who lacked the international contacts, to find the necessary partners.

The programme has three strands into which the projects fit. The first is concerned with policy and visibility and is designed to build upon and strengthen OA activities already taking place within the individual countries. The second strand is targeted at improving content and making content more accessible. Underlying these two strands, the purpose of the third is to promote interoperability between different systems in learning and scientific environments. At the time of our evaluation, eight projects had begun or had been completed and a further one was due to start. There was praise for the speed with which these had been established but also concerns from those who proposed projects that the aims of the programme and the process for the evaluation of proposals lacked clarity. The project calls, however, attracted few bidders, leading to little competition. The reasons appear to include a lack of flexibility in the calls and a lack of calls requiring innovation.

The group which established Nordbib is NORON, The Nordic Conference of State and National Library Directors. This has continued as Programme Board with the addition of a representative of Nordforsk. Responsible to the board are the Programme Manager and a Programme Group. The Programme Group works to support the Programme Manager, who chairs it, and consists of a member of senior staff of each of the five national libraries. It is the Programme Group with the Programme Manager which put together the original programme prior to its ratification by the Board and which has developed the further work within the programme.

The management of the programme has worked well in many ways. The bureaucracy has been lightweight and so the programme has been agile and able to move fast. Further, the programme has very successfully established social capital by creating a group of partners with much trust in each other. On the other hand, the small project office has led to a low visibility for the programme and little resource available to promote good contact between projects. There is also little interaction between the Programme Group and the wide range of stakeholders in Nordbib.

We found the communications from Nordbib to interested parties to be the weakest part of the programme. Open Access is a political issue and one of Nordbib's aims has been to influence the policy makers. Sadly, that has been an area in which progress has been less than hoped. That is not to say that no progress has been made: Nordbib has done a good job in initiating debate about Open Access, about what it is and about its benefits. But the workshops do not seem to have attracted enough senior decision makers. Furthermore, we were told by a number of people that the programme had failed adequately to engage researchers, the very people whose work Nordbib is seeking to make accessible through Open Access. In the world being promoted by Nordbib, tools such as the website are very important and at the time of our evaluation, that site was poor in conveying the breadth of work being undertaken in the name of the programme.

But despite these minor criticisms, we had no doubt in recommending to the Board that it should seek to deliver another round of the programme and that the principal focus should continue to be on giving Open Access issues a Nordic dimension. The justification for this is that Open Access remains an extremely important topic within learned publishing and that the first round has established a Nordic grouping that is leading and promoting change in a cost effective way. As one senior manager said to us, "The whole area of scholarly publishing and access rights are extremely important and must be worked upon. [We are moving] to an entirely new situation and need people to specialise in it and develop it". However, in good part because of the complexity and fundamentally international nature of the topic, changes are not occurring quickly.

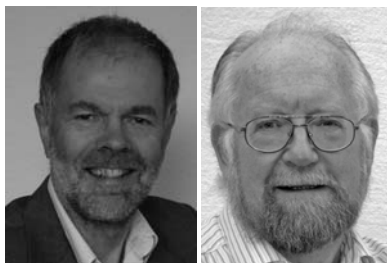
The next round of Nordbib should address both practical issues and communicating the policy issues to policy makers and researchers. It has a unique role to play in conveying the importance of open access policies to a Nordic audience: policy developments can be formulated, lobbied for and communicated between the member countries. Following from this, the member countries will be in a better position to

make concerted representations for change within the European Union arena. It also has a unique role in the development of open access practice: by working with universities and research institutes, it can develop standards of practice to suit all the Nordic countries.

We believe that the new programme should both continue to support and supplement the basic thrust to Open Access. In particular, it should give visible support to the Nordforsk eScience Action Plan, it should promote the development of understanding in handling complex documents such as those referencing other information and it should assist the growth of a better understanding of the management of the information life cycle. Without doubt, workshops should be a major element of the next round. They have been a very successful part of the first round and have proved a powerful communications tool, bringing together and advancing peer networks amongst a wide range of types of stakeholder who share an interest in open access. These stakeholders include librarians, researchers and, last but by no means least, those hard to reach policymakers.

We do consider the present funding model and the approach to seeking projects to be restrictive. For example, some prospective project applicants have found difficulty in finding interested institutions in two other countries: instead, Nordbib could issue a project call to ask for expressions of interest in a topic, with the objective of putting interested institutions into contact for formulating a bid. In the area of funding, project consortia have only been offered 40% of project costs. It was suggested to us that this makes bids from research institutions difficult, because of their funding model. We think that flexibility in the amount contributed to projects from Nordbib, perhaps by permitting the discretion to increase the level of funding to 50%, could be of benefit in obtaining more bids from calls.

It will be clear from this article so far that we are emphatic that the new round should include the development of a communications strategy, a framework for enhanced contact with all the types of external organisation and individuals of relevance to Nordbib as well as individuals and groups within the programme.



Dr **Jon Duke** and Dr **Andy Jordan** are the directors of Duke & Jordan Ltd. The company specialises in providing consultancy services to higher and further education. The work of the company relates in general to information services, both IT and library oriented. It has carried out substantial work for the JISC in the UK.

Successful external communications are crucial to Nordbib: this strategy might become a communications strand within the programme, and it could then use expert resources from other agencies and institutions.

The communication strategy should state the approaches Nordbib uses to obtain the involvement of policy and decision makers in the Open Access agenda. Providing up-to-date information about Nordbib is an important role for its website which can also usefully include pointers to other relevant web sites. News feeds could be implemented to enable individuals to keep track of Nordbib progress. And in these days of financial gloom, videoconferencing could be a useful tool both in convening and in enhancing meetings.

In summary, Nordbib is a well regarded programme, which was well designed and has been effectively and efficiently managed, with its administration delivering excellent value for money. It has done very well in introducing a Nordic dimension to the issue of Open Access and has developed, particularly through its highly successful workshops, a considerable degree of peer networking amongst those developing and supporting Open Access resources in the Nordic countries. It is also contributing significantly to raising the profile of Open Access in those countries.

From our personal standpoints, this evaluation proved a most pleasant experience. It was made thus by the kind and friendly way in which we were helped by all those we spoke to or communicated with. In particular, we would thank Mikkel Christoffersen, the present Programme Manager, whose enthusiasm and responsiveness enabled us to maintain the momentum of the exercise. For the pair of us, both native English speakers, the ease of communication with everyone was a salutary lesson, and the importance of retaining cultural heritage, even for this most modern of topics, was reinforced at every conversation.

THE DANISH EXPERIENCE OF THE HOUGHTON STUDIES: COSTS AND BENEFITS OF ALTERNATIVE PUBLISHING MODELS

Mikkel Christoffersen

Introduction

This short article is by no means a comprehensive guide to the so-called Houghton reports. Interested readers can themselves consult the reports for the UK, the Netherlands and Denmark as well as the summaries and the comparative report.¹ Having been involved in some of the preparations, I wanted instead to touch upon some of the aspects of the reports that have seemed to cause the most interest from readers with special emphasis on the Danish report.

Background

In the spring of 2009, the Knowledge Exchange programme (KE) decided to commission reports for the rest of its member countries from Australian professor John Houghton along the lines of his report “Economic Implications of Alternative Scholarly Publishing Models: Exploring the costs and benefits” for the United Kingdom from earlier that year. Germany is rather a special case due to a unique, national licensing model for scientific journals, but The Netherlands and Denmark are comparable to the UK, and so it was mostly a matter of getting the statistical data and feeding it to the intricate model that Houghton and his team have developed.

In Denmark, an ad hoc working group consisting of representatives from KE, the Danish Electronic Research Library (DEFF), the Agency for Library and Media as well as other relevant agencies, Copenhagen University Library Information Center (CULIS), the publishing house Museum Tusulanum and others was set up to provide statistics and data that were not readily available from the Agency for Library and Media or national statistics bureaus. The Houghton model consists of a myriad of diverse variables, and as always: the better the input, the more valid and reliable the output.

Assumptions

In my experience, the fundamental logic of the study is not easy to convey to outsiders. I believe that two factors determine this. First, the special history and nature of scientific publishing is counter-intuitive to most people. Second, economic cost-benefit analysis may sometimes appear very speculative bordering on black magic. The reason for this is the benefit part. Costs are usually more straightforward, because they're

present and tangible. Benefits are usually potential, intangible and abstract.

For our purposes here, the Houghton study posits three major entities; research, publishing and society. Research is beneficial to society, which is why society funds research but the returns on the investment depend on a host of factors. Simplified, the resource stream between society and research is a stream of funds from society to research and a stream of communication from research to society. Publishing is the way in which this communication is done and how research finds its way back to society, although there is an inbuilt delay in the possible effect. From the time the ink dries on a scientific paper until its conclusions have been acknowledged, operationalised and implemented in the target area, there is a time span ranging from ‘some time’ to ‘never.’

It stands to reason that the better the research communication the better the returns for society. Hence, any obstacle to communication constitutes a loss for society. There are different kinds of losses. For example, research communication can be lacking or of low quality, it can be difficult or impossible to find or access can be restricted. The latter factor is the true cost of commercial scientific publishing as we know it. We are in fact paying for this restriction and whereas these payments may seem large - and indeed not only are they large, they are always increasing beyond the budgets of libraries - the indirect cost to society is even larger because of the basic impediment to the flow of knowledge.

Method and benefits

In order to investigate the impact of other publishing models than the one we know, the study operates with three alternatives; a self-archiving solution, a self-archiving solution with overlay services and an author-pays model. We normally refer to self-archiving solutions as green Open Access, and it denotes models in which authors retain the right to publish their papers on their own web-sites and to archive them in institutional repositories. Author-pays models are usually called golden Open Access. There seems to be a call in the community to rename this solution ‘publication fee’ rather than ‘author-pays’ for mostly psychological reasons; it may scare authors who mistakenly believe they now have to pay themselves,

¹ Sources are given at the end of the article.

whereas in reality it is the home institution which pays. Publishing costs money, but rather than publishers securing revenue by way of subscriptions, they would now secure revenues by way of putting fees on receiving papers for publication, so author-pays simply means that it costs money to publish but not to read. In theory, it makes little difference for a university whether it has to pay to publish or to read, but when it pays to publish, the information becomes free for all, and that makes a gigantic difference.

The costs are tabulated for these alternatives and compared to the status quo yielding net costs. Of course, costs can be negative constituting savings. It also makes quite a difference if the models include physical deliveries or are online-only. Sometimes the difference in costs are larger between print and online internal to the models than any external differences between models. However, the nonchalant term 'status quo' represents a huge challenge, because what are in fact the total costs related to the production and consumption of scientific literature? Strictly speaking, such things as the electricity that computers consume while someone uses them to search for or read literature and the ink cartridges that laser printers eat through while they spew out articles are all costs associated with this. With an army of various costs, some change with publication models and some do not. For total costs of the status quo, see below.

Still, the cost side is the easy one. The benefit side is difficult. What are the benefits to society from research and how should this be quantified? John Houghton and team make use of the so-called Solow-Swan model, which is a generic model for exogenous growth - i.e. dealing with factors coming from outside and opposed to the pure endogenous variables 'technology' and 'labour supply,' and which secured T.W. Swan the 1987 Nobel prize in economics. The model is refined in the study, because the Solow-Swan model assumes that research is unequivocally available and efficient (beneficial in an economic sense). It also assumes that knowledge is substitutable across domains but this is of less importance here. These assumptions are clearly wrong qua being too simplistic. In the Houghton model, availability and efficiency are introduced as friction variables instead; the more available and efficient knowledge is, the less friction there is - friction between new knowledge in its raw conceptualisation and its economic impact on society.

Based on earlier economic studies, 20% is chosen as the return from R&D investments by society over a 10-year period. This provides a base amount that can then be further refined by way of increasing or decreasing availability and efficiency. A 5% decrease of friction means an increase of benefits worth DKK 304

mio. annually for Denmark, out of which DKK 243 mio. accrue in the university sector. The savings can be converted into growth rates if made permanent.

This is the major part of the large amounts that have been thrown around in the ensuing debate and which has proven itself to be the most difficult to grasp by readers of the report. The large number for a small country like Denmark stems from the fact that large amounts are spent on research and therefore increased access to the produced knowledge will itself mean a large amount. It is not profits or savings that can be immediately tallied and spent, but social benefits in a broad sense.

Other factors

There are of course other factors at work. First of all, it makes a difference if Denmark should choose to go Open Access unilaterally or whether it would be a global phenomenon; the more global the better. Denmark accounts for about 1% of the world's scholarly output, and so it makes only a little difference if all that output became Open Access overnight as compared to a global phenomenon. Of course, the direct costs of reading by Danish researchers were estimated to be DKK 16 bn. in 2007, and so once again even small changes to numbers this large can make a difference - even more so when it is considered that the output would be freely available to the whole world and so impact all countries' R&D expenditures.

Second, there are various systems costs and savings associated with the status quo and with new models. Going Open Access by way of the green model, i.e. based on self-archiving, means net systems savings in terms of production, and these are in fact funds that would be directly available, *if* Open Access becomes a global phenomenon, *but not* if Denmark does it unilaterally. The savings obtained in the research production phase by free access to papers produced in Denmark are not enough to offset the costs of operating repositories. So there are net costs, and whereas the benefits are the same yielding a net benefit increase, strategically speaking it is a much tougher sale to decision makers that models are showing huge benefits but at net costs. It is not realistic, though, to consider the rest of the world as exclusively toll access, so the net costs should be offset. In a global model, the research production savings are estimated at DKK 214 mio. and so more than enough to offset the mere DKK 12 mio. costs of repositories. The golden route on the other hand is showing clear net savings in all scenarios.

Third, it makes a difference if two steady state models are considered; one for the present situation and one for the end result of a change, say green Open Access.

Realistically a transitional period must be heavily factored into the equation. Golden Open Access is so beneficial that the net savings are enough to cover the costs of the transition. This means that full Open Access could be achieved within the confines of existing budgets. However, this model requires a lot more widespread and fundamental changes, many of which are way outside the control of funding bodies, universities and libraries. The green model's increased social benefits can easily finance a transitional phase as well, but its net savings cannot. This logically means that society needs to translate its increased benefits into cash funding during the transition.

Comparison across KE countries

We are still waiting for the German report, but the UK, The Netherlands and Denmark are interesting cases to compare, because they represent a large, medium and small country respectively. The major finding when comparing the cases is a striking similarity across the results.

Benefits for the countries are estimated at EUR 250 mio. for the UK, EUR 78 mio. for The Netherlands, and EUR 40 mio. for Denmark in the same manner as delineated above. In a global golden Open Access scenario, system savings are estimated at EUR 480 mio. for the UK, EUR 133 mio. for The Netherlands, and EUR 70 mio. for Denmark. In a global green Open Access scenario system savings are estimated at EUR 125 mio. for the UK, EUR 50 mio. for The Netherlands, and EUR 30 mio. for Denmark. In the latter case, the Netherlands cannot quite secure the same relative savings as the UK, which in turn cannot quite secure the relative savings of Denmark. This is due to green Open Access being very dependent on repository structures, and the way the three countries have set up academic institutions and the way the institutions have set up repositories mean that Denmark have relatively fewer and larger repositories with less overhead as a result.

Critique

Based on comments from mainly commercial publishers and anecdotal evidence from colleagues, here is a short list of the major critique points. First, though, it should be borne in mind that these are not normative studies or moral guidelines. The Houghton reports are quite simply attempts to quantify the economic cost-benefit factors involved in academic publishing. The authors do not take sides nor do they tell us what we should or should not do.

In Denmark, the major complaint has been that green Open Access will lead to subscription cancellations, whereas it is assumed in the model that it will not. According to the Houghton team there is nothing in the literature to suggest cancellations, but critics believe that practice is a different matter.

Apart from this, a major mistake often repeated is that peer review will be undermined by Open Access initiatives and lead to a poorer quality of papers and that there are already author-pays options available but uptake has been slow. These are well-known arguments from the overall Open Access debate, and the standard replies apply again. There is nothing to prevent peer review in neither green nor golden Open Access. The costs of peer review are worked into the Houghton models. While it is true that there are presently some opportunities for author-pays and uptake has been slow, there is as yet no systematic institution-backed approach to it as assumed by the study in its future steady state models and so it is in fact remarkable that the option is even used at all.²

Conclusion and future development

KE arranged a workshop in Brussels in June 2009 with the participation of the European Commission and other European bodies. This event was a chance for stakeholders of various kinds to present their understanding of the findings and for the represented bodies to discuss how to move on from there. In Denmark, the report did not quite have the public impact one could have envisioned due to its startling conclusions. We believe it may be caused by the rather dense subject matter and the complexity of academic publishing in particular and cost-benefit analysis in general. However, the report has had some real impact in the sector and among decision makers to the point where agencies and ministries have discovered the potential of Open Access. Knowledge Exchange, DEFF and the Nordbib programme have become the target of renewed interest. For Nordbib - and its partners and funded projects such as ScieCom Info - the timing could hardly have been better since negotiations over a continuation of the programme are underway right now.

The conclusion of the report is a startling one. It is clear that there are various savings to be made in the different models and dependent on a lot of factors. British RIN has also made a study that delves into the cost side of things, but the true eye-opener of the Houghton reports and the most controversial one if followed to its ultimate conclusion, is the notion that the true cost of toll access is not the cash needed to buy the information back, but the very fact of restricting access to knowledge thereby preventing research results from having their potential social impact on society.

² For many more questions and answers please see the JISC document listed at the end of the article.

Sources:

The UK report containing the full explanation of the assumptions, models and formulae of the study as well as the Dutch and the Danish reports can found here along with the comparative report
<http://www.knowledge-exchange.info/Default.aspx?ID=316>

A summary of the UK report
<http://www.jisc.ac.uk/publications/documents/economicpublishingmodelssummary.aspx>

A summary of the Dutch report (in Dutch)
[http://www.surffoundation.nl/SiteCollectionDocuments/Sa
 menvatting_Costs%20of%20Benefits%20of%20Research%20Communication.pdf](http://www.surffoundation.nl/SiteCollectionDocuments/Sa%20men%20vatting%20Costs%20of%20Benefits%20of%20Research%20Communication.pdf)

A summary of the Danish report (in Danish)
http://www.bibliotekogmedier.dk/fileadmin/user_upload/dokumenter/servicemenu/Presse/Opsummering_Houghton_report.pdf

Critique from publishers and JISC answers
<http://www.jisc.ac.uk/media/documents/publications/responseoneiaspmreport.pdf>

A variety of documents associated with the RIN report as well as the report itself can be found here
<http://www.rin.ac.uk/our-work/communicating-and-disseminating-research/activities-costs-and-funding-flows-scholarly-commu>



Mikkel Christoffersen Nordbib programme manager

”FREE” OPEN CHOICE – BEWARE OF GREEKS BEARING GIFTS

Jan Erik Frantsovåg

Recently, we have heard of a number of licensing deals with Springer, where a part of the deal is that authors from the buying institution can opt for Springer’s Open Choice at no extra cost, if they publish in a journal that offers Open Choice. This is – it seems – a three-year experiment. Springer probably wants to evaluate it before they decide whether to continue the offer. Chances should be good that other publishers will offer similar options in forthcoming big deals.

This might be a welcome chance for universities to try out a strategy to increase Gold Open Access. I see, however, two major problems that one should be aware of, if one wants to pursue such a strategy.

The first is the classic level playing field problem. In promoting OA (Open Access), we have tried to find solutions that would lead to authors facing equal costs whether they choose to publish OA or TA (Toll Access). The Springer offer (and probable followers) will suddenly create a level playing field between TA and Open Choice OA (under this or other names), but it will leave the field unlevelled between TA and Open Choice OA on the one side, and other OA options on the other. This will leave the smaller OA publishers, with no TA base or no package deal capability, in the open. Authors will prefer the “free” Open Choices, at least if they behave like the economists’ rational economic man. Do we really want to play into the hands – and already well-filled coffers – of the major commercial publishers?

If we do this, we will make it impossible to start new OA publishing ventures. Thus we create a situation where the OA market too will be an oligopoly without any real and effective price competition. This is not in the interest of the scientific community.

Any acceptance of the Springer offer must be coupled to the establishing of mechanisms to cover other OA publication fees for authors, so that there will be a place for the smaller OA publishers. This is the only way we can create a sustainable long-term situation for the authors’ institutions.

The other problem is that the Springer Open Choice deal will complicate matters even further when it comes to the effect of Open Choice (and similar options) on the pricing of big deals. The idea – at least, the demand from the buyers – has been that the uptake of Open Choice should lead to a decrease in subscription prices. There has been much discussion on whether such price reductions have been observed, or whether they have been just promises without much reality. Some reports indicate that some lower price growth rates may have occurred, but not much more. Non-transparent pricing is a part of the problem. Now, if Open Choice is included in package deals, what kind of price reduction should we expect? The publishers would say, possibly with some justification, that as they have received no extra remuneration, a price reduction would be unreasonable.

The only way the Springer offer could be of long-term advantage to the scientific community is if it is taken up on a large scale, coupled with funding of article processing charges for authors, so that both Open Choice and other OA publishing options experience profound growth. If so happens, in a few years we could all cancel subscriptions and packages, and have a functioning OA market with the necessary price, quality and service competition between publishers, small and large.



Jan Erik Frantsovåg Universitetsbiblioteket, IT-drift, formidling og utvikling, Universitetet i Tromsø, Norway

LUND UNIVERSITY SUPPORTS PUBLISHING IN OA JOURNALS: AN EXAMINATION

Jörgen Eriksson

In the 2009 budget Lund University approved of funding publication fees for Open Access journals with \$163,000 in a central fund managed by the Libraries Head Office, with the intention to encourage and assist publishing in open access journals. This initiative is described in Eriksson & Bjørnshauge, 2009¹. This is a follow-up to that article and looks at the usage of the funding from January up to late September 2009 and some conclusions drawn from this. It is looking at the central fund from a practical, short-term perspective of what we should do next year.

Encourage publishing in open access journals through membership.

Lund University has been a member of BioMed Central since 2002 and chose the Prepay Membership Option when that was offered. The Hindawi membership started in November 2008 and the PLoS membership started in March 2009. Each of these has been marketed through the central university and faculty information offices, through library staff and as news on the university web pages. In connection with the PLoS agreement, information about all the agreements and the extra funding were distributed using the channels mentioned above. One of the reasons for putting the fund into these memberships is that we want to avoid the administration costs for researchers and us having to deal with each publication fee separately.

The Hindawi membership is a flat fee arrangement, where after the membership is paid LU-affiliated authors can publish any amount of articles until the agreement expires. The PLoS and BMC memberships are based on the actual number of articles published. The LU-affiliated author indicates his affiliation when submitting an article and the Library Head Office will be invoiced for those articles from the publishers. The BMC model means that we deposit a sum to BMC

first, from which they deduct the cost of each accepted article. The deposited sum should also cover the potential fees of submitted articles. PLoS sends an invoice each quarter covering the accepted articles during that period. These memberships also include a discount on the publication fee. The advantage of the PLoS and BMC models are that there is very little administration costs involved for us, the obvious disadvantage is that the actual cost will be a guess based on an approximation of the number of articles that will be published under these membership arrangements in the coming year. The flat fee membership also has low administration costs and the advantage of being easy to budget, but we have some concerns about how well it scales.

There are 80 articles published under these agreements from the first of January up to the 25th of September. The corresponding author has to be affiliated to Lund University if we are to accept the billing so there are more articles published with Lund researchers as co-authors by these publishers. The corresponding authors for the published articles are divided between faculties as follows. Medical faculty 62, Science 8 and Engineering 10. The dominance of the medical faculty reflects the fact that the OA-publishers are strong in the biomedical sciences but it can easily pose an internal problem at a university with 8 faculties when one faculty is so clearly favored by a central fund. For BMC and Hindawi I can make a comparison of the number of publications in 2008. BMC shows a notable increase from 48 published and 62 submitted during the last three quarters in 2008 to 66 published and 82 submitted in first three quarters of 2009. Hindawi have published 5 articles with a Lund University affiliated author as first author during 2008 (the full year) and 6 articles during the first three quarters of 2009.

Number of published articles 1 January – 25th September 2009

Publisher	No. articles 2009	Cost \$ 2009	No. articles 2008
Hindawi	6	10,318	5 (full year)
PLoS	8	11,950	n/a
BMC	66 published (82 Submitted)	86,793**	48 published (62 submitted)
Total	80 published	109,061*	

* Average price per article: \$ 1,363 . **Submitted articles to BMC not included (51 articles. Potential cost: \$ 69, 526 with a 20% Membership discount.)

¹<http://www.sciecom.org/ojs/index.php/sciecominfo/article/view/1508/1243>

There are 51 submitted articles to BMC adding a potential cost, if all are accepted, of \$69, 526. PLoS does not inform us on submissions so I have no figure there. Since the number of articles published in PLoS journals is low, 8 so far this year, it should be no more than a couple. Adding up the BMC submitted articles cost to the already paid publication fees for 2009 we will have overdrawn our funding roof. A growing portion of these articles will not be published until next year but the cost will still have to be covered.

How to continue?

Looking at the possibility to scale this support for gold OA funding I present an example were 15% of Lund University's article output were made OA using the same funding model as the PLoS and BMC memberships.

If Lund University should fund 15% of the annual article production as Gold OA under similar agreements as those with PLoS and BMC, based on the number of journal articles published 2008 and registered in our publication registration service, LUP(4,325) and the average article cost of 2009 (\$1,093), the cost would be as follows. $15\% = 648$ articles $\times 1,363 = \$883, 324$. This would be equivalent to more than 25% of the journal subscription budget for 2009.

It is very unlikely that new money of that order would be made available by the university. It does not seem likely that journal subscription costs will go down in the near future to make a transfer of money possible. Many publishers have frozen the prizes at 2009 levels due to the economic recession but big publishers like Elsevier and Springer are expected to raise their subscription prices with ca 5-6% on average. It is equally unlikely that a transfer of money resulting in a large cut in the journal subscription budget would be accepted by the researchers at the university. Most probably we will not have increased resources to spend on gold OA and in the near future we will not be able to choose a model like BMC's Prepay Membership. BMC recognizes this problem and offers two more controlled prepay options that we will look into.

One is called Capped Membership and this means BMC suspend the Prepay Membership once the total cost of submissions reaches your chosen capped amount so you won't allocate over the original agreed amount. This also offers the opportunity to notify the researchers that there is a cap on the Prepay and it will be suspended once the cap is reached. Once the cap is reached, you can then decide whether or not to deposit again for the months ahead. This removes the need of having to top up due to a surge in submissions or submission exceeding an available balance.

The second model is called Institutional ID Code. In order for a researcher to submit under a membership

they must have an institutional ID code, which only the membership administrator has. A researcher would contact the administrator to obtain the code. This allows the administrator to limit the amount of times it is issued, check affiliation before the submission is made and have more control over the submissions in general.

A model like Hindawi's with a flat-rate annual membership doesn't need much management and gives us control over our budget. On the other hand it is close to the traditional subscription model and we doubt that this model will scale well. Today this is not a problem but in a future with many publishers offering this model the risk will be that the "access to reading" problem might be reversed into an "access to publishing" problem for institutions with low funding, even if at this stage all OA publishers accepts publication without fee if the submitter can claim lack of funds.

Another option to consider would be to manage the funding centrally, but letting the individual researchers spend the money and not engage in any central prepay arrangements. Drawbacks to this would again be more administrative tasks for those who manage the central funds and for the researchers too. Loss of, or lower, membership discounts would also give fewer publications for the money. So far this year the membership discount from BMC amounts to \$20,431 or more than 15 articles at average price. The major advantage would be that our funding support would be "neutral" regarding which OA journals the authors publish in independent of publisher. Today we really favor publishing in journals inside of our memberships compared to other OA journals.

Gold compared to green at Lund University
When searching for journal articles with publishing year 2009 in our publication registration service (Lund University Publications)² the total number is 2,637. This means that 3% of the total number of article publications has been paying their publication fee using the central fund. The total of the publication fees for these 80 articles is \$109,061. The average price per article is \$1,363.

So far 109 journal articles with publication year 2009 have been self-archived in Lund University Publications. 81 of these are affiliated to the medical faculty. The medical faculty has established a workflow for self-archiving where the faculty library does the actual work and the researchers only send their manuscript to the library. For a description of this workflow see Hultman-Özek³, 2005. Since the researchers cost in time in this workflow is negligible it is possible to estimate an average cost per article self-

² <http://www.lu.se/o.o.i.s/12682>

³ <http://www.dlib.org/dlib/october05/ozek/10ozek.html>

archived, based on the time spent by the library staff to self-archive the articles. The average time spent per article is 20 minutes (Figure from interview with medical faculty library staff). This includes looking up the self-archiving policy in SHERPA/RoMEO, contacting the author if a post-print manuscript is needed, add a “version page”⁴ and create a pdf of the manuscript and upload the article into LUP. The average hourly cost of a librarian at LU is \$40.7 so the cost of self-archiving one article would be \$13.5. The cost of self-archiving 15% of Lund University’s yearly article production (648 articles), using this work-flow, would then be \$8, 748.

From the point-of-view of making as large a portion of Lund University publications open access as possible, supporting self-archiving by using dedicated staff is more cost effective than supporting publishing in open access journals by paying publication fees. Since Sweden’s largest funder, the Swedish Research Council recently has for publications emanating from research that they fund, it is likely that the need for support to self-archiving will increase at Lund and be in focus over the next year(s).

Conclusions

These are times of experimentation and change in scientific communication and the new modes will develop alongside the traditional ones. The costs associated with the subscription-based system will not decrease in a way that will make a smooth transfer of subscription funds to publication funds possible from a university perspective. New money and creative solutions will be needed during this period of transition. We will still support and promote publishing in open access journals through memberships, DOAJ etc. as we see the different roads to open access complementary.

When we know the size of the fund for next year, a capped membership model as offered by BMC looks like a quite attractive solution, still keeping administration overhead per article down and also giving budget control. The flat fee model is still manageable as it is in limited use. Ear-marking a certain percentage of next year’s funding for “free” spending on any acceptable OA journal (included in DOAJ) and keeping some memberships would remove some of the disadvantages journals outside our membership arrangements have and at the same time “limited” memberships will still give us some discounts and lower administration overhead than a totally free fund. In our opinion it would be a very valuable service if the Open Access Scholarly Publishers Association, OASPA⁵ could come up with a common “clearing-house” for publication fee payments including all member publishers under a common model (or optional models) with low administration overhead and budget control for central funds like ours. If that is possible the advantage from our point of view would be less administrative time spent on separate agreements and models and added to that the automatic inclusion of all OA publishers (if OASPA members) using a publication fee model without us having to do anything. If it were possible to avoid separate agreements with each OA publisher and/or having to handle each publication fee separately, more money could be used to actually make articles open access instead of spending them on handling the publication fees.



Jörgen Eriksson Repository Manager, Library Head Office, Lund University.

⁴http://www.lub.lu.se/fileadmin/user_upload/pdf/Publicera/Foersatsblad_artikel_LU_eng.doc

⁵<http://www.oaspa.org/>

GREATER ACCESS TO SCHOLARLY PUBLICATIONS FROM COPENHAGEN BUSINESS SCHOOL – THE CBS OPEN ACCESS POLICY 2009

Leif Hansen

In June 2009 Copenhagen Business School adapted an open access policy. It is a mandatory policy comprising peer reviewed scholarly journal articles and contributions to conference proceedings, but at the same time the policy is careful not to create impermeable barriers to publishing in toll-access journals. The aim is to further open access to research from CBS, not to hinder publication.

This paper will focus on the experience gained from the process of formulating the policy and the experiences learned so far from the implementation process. The CBS Library has played an active role, and at CBS it is seen as a natural thing that the library is the driving force in the process.

Background

Universities find themselves in a situation in which research becomes more and more international through increased cooperation with other universities inside and outside of Europe. This has been the case for CBS for several years, where internationalization has been one of the key strategic goals.

Scientific information is increasingly digitized, journals appear more and more in e-format only, and references to e-science and e-research gains ground. More and more researchers expect rapid access to research material and information and prefer search tools for information that provides easy access to content via the internet.

Many funders have recognized that the job of research is only half-done if the results of that research cannot reach the widest audience. Some are formulating policies to require open-access to their funded research, and the European Research Council has recommended an open-access policy for all EU funded research.

CBS, as other universities, finds itself in a transitional process in which access to the results of their research is an important prerequisite to participating in the international research community and research competition.

As a publicly funded university, CBS has a duty to inform the general public about its research activities and results, and to provide access to published results of the research to industry and business in order to stimulate knowledge exchange and further innovation. Although this is a rather new obligation for Danish universities (stems from the University Act 2003) it

actually follows from the basic characteristic of scholarly research at universities:

- Research is created as a public good
- The main part of research is publicly funded – either directly through public research funds or indirectly via government funding of higher
- And an overwhelming part of researchers are creating and disseminating their research without expecting any direct financial gratification.

In line with these considerations, CBS in January 2008 signed the Berlin Declaration, which calls for unrestricted “Open-Access to Knowledge in the Sciences and Humanities”.¹ As a consequence of signing the Berlin Declaration, an institution must implement a policy that requires the researchers to deposit a copy of all their published articles in an open-access repository, and encourages them to publish their research articles in open-access journals where a suitable journal exists, and to provide the support to enable that to happen.

For CBS – as for any other university – this means that we must deal with several complex problems that must be taken into consideration in the formulation and implementation of the local open-access policy. To create the broadest possible access to the published research and other kinds of scholarly communication at the university, one immediately touches upon the structural framework for scholarly publication which in many ways traditionally has been the natural playground for establishing fame and prestige for scholars. But at the same time it has created barriers for the distribution of research and knowledge. One way of dealing with this is to work for the researcher’s and scholar’s increased control over the intellectual property rights to their published works, allowing for local archiving at the same time as international publishing.

This will in turn help develop competing markets for scientific information and create innovation within publication channels and processes which can help reduce costs of distribution, increase the speed of publishing and enhance access to research results. The

¹ See: <http://oa.mpg.de/openaccess-berlin/berlindeclaration.html>

perspective is to create an open-access to the world of research.

Creating a local Open-Access policy

Creating a local open-access policy is no doubt a local endeavour, i.e. it is not possible or sensible to try to form a general recipe which can be followed by other institutions. Nevertheless it might be helpful to learn about ways or strategies followed by others. At CBS, the library took the initiative in the last part of 2007, when we suggested to the Executive Management Team that CBS should sign the Berlin Declaration. This was done in January 2008 as number 245 in the world. As such it was not a giant leap for OA but a small and significant step for CBS as it initiated the coming process of forming a policy. In the next phase, the Library worked on the first draft of an OA policy for CBS, which was discussed with the Executive Management Team during the fall of 2008. Then, a revised version was presented to and discussed with the Academic council, and with the Heads of Department and Directors of Centers during spring 2009. Finally the Executive Management team adopted the policy in June 2009.²

It might seem as if it took a very long time to move from the first step (signing the Berlin Declaration) to the first draft version of the OA policy paper and finally to the adopted version of the policy. But we experienced that in order to overcome skepticism among faculty, and to create a broad understanding and consensus behind this new policy it was important not to move too quickly. In a university system such as the Danish, with a strong top-down decision structure and only a very limited democratic influence on decision-making for the faculty, it is important not to move too fast in adopting new policies. Unlike American universities (e.g. Harvard University) where faculty must vote on matters like this, and where the voting in itself necessitates a solid consensus, we learned that it took a long time to spread the message and to create understanding and consensus behind the OA principle.

During this process we worked simultaneously with investigating how big a part of the publications from 2007 and 2008 was actually possible to archive without any further problems or negotiations with publishers about copyright. The results, which have been reported in details elsewhere, shows that 36% of the research articles can be made publicly available as post-prints, immediately after publication, and an additional 27% after a shorter or longer embargo period.

As part of this we established a practical test with one of the research centers at CBS, where we wanted

² The policy is available at:

http://www.cbs.dk/forskning/menu/open_access_politik

to explore all the practical details connected to collecting and archiving the publications. It was a very sobering experience! Although we tried to describe very carefully and un-library-like, that we wanted the post-prints when this was allowed, or otherwise their pre-prints, we learned that this was basically unmapped territory for the researchers. We received pdf-copies of articles that could not at all be archived according to the journals' provisions regarding open-access³ and when asking for the post-prints or preprints the common answer was: "we don't have those any longer". For researchers, OA is still a very new thing and we learned that it takes a very carefully planned procedure to secure and collect the versions that can be archived. These kinds of experiences must be taken into account when planning the practical procedures necessary for implementing the OA policy at the university.

CBS Open-Access Policy Principles.

Basically the CBS OA policy is a mandatory policy, and we were happy to be number 98 on the planet and number 1 in Denmark to be registered in ROARMAP.⁴ But at the same time we are very careful not to try to push the mandatory aspect too hard. This is reflected in the principles in our policy paper which can be summarized as follows:

- CBS and the faculty at CBS are committed to disseminating the results of its research and scholarship as widely as possible.
- To fulfill this commitment CBS is adopting an open-access policy that provides open-access to full-text versions of all scholarly papers and articles written by its faculty.
- The aim is to allow these publications to be read, searched, printed, distributed or utilized in any other conceivable legitimate manner without any financial, technical or legal restrictions.
- This does not affect the author's legal right to be identified as the copyright holder of such works.
- The open-access policy furthermore seeks to increase authors' influence in scholarly publishing by establishing a collective practice

³ This corresponds with results found in a Nordic survey conducted by Bo Christer Bjørk et al. and reported at the OASPA conference in Lund, September 14, 2009. Bjørk reported that it was quite common to find articles on researcher's homepages that did not correspond with the journals criteria for OA.

⁴ See: <http://www.eprints.org/news/> (dated 27/08/2009)

of retaining a right to open-access dissemination of certain scholarly works.

- As a consequence of this policy CBS faculty shall routinely grant to CBS a license to place in a non-commercial open-access online repository (OpenArchive@CBS) the faculty member's scholarly work published in a scholarly journal or conference proceedings.⁵
- In the event a faculty member is required to assign all or a part of his or her copyright rights in such scholarly work to a publisher as part of a publication agreement, the faculty member shall retain in the publication agreement the right to grant the foregoing license to CBS.
- The policy will apply to all scholarly articles written while the person is a member of the Faculty except for any articles completed before the adoption of this policy and any articles for which the Faculty member entered into an incompatible licensing or assignment agreement before the adoption of this policy. But it is strongly recommended that faculty consider depositing articles written earlier to the adoption of this policy if existing publishing agreements does not prevent this.
- A faculty member may opt out of this policy for a specific work that has been accepted for publication in a journal or conference proceedings that refuse open-access archiving of the work. Likewise, he or she can invoke a specified delay before such a work appears in the OA repository when needed. The Research Dean, or the deans designate, will waive application of the policy for a particular article upon written notification by the author, who informs CBS of the reason.

The principle which has most practical importance is naturally the opt-out clause. As almost any other university adopting a mandatory policy, CBS is very keen not to create barriers for our researchers regarding publishing in journals of high esteem within their research field, but not allowing open-access archiving. We did not adopt an open-access policy in order to prevent publishing in high quality journals that do not

⁵ A license means that the copyright owner gives to another the rights to use a copyrighted work in specified ways. This license shall be limited, irrevocable, perpetual, worldwide, royalty-free, fully paid-up, and non-exclusive. Such a license does not transfer any right to CBS other than the specific license to place the work in the non-commercial, open-access online repository (OpenArchive@CBS). Accordingly the faculty member retains copyright ownership of his or her work.

allow open-access, but to enhance dissemination by providing greater access to the scholarly publications from CBS. The process towards achieving open-access to the institution's research has only just started by adopting the policy. The hard work - getting the policy implemented in practical terms, i.e. getting the articles archived, directing publishing behavior towards OA channels, creating awareness of retaining copyright and the like - lies ahead!

Status and expectations.

The CBS Executive Management Team has decided that the responsibility for running the institutional repository (OpenArchive@CBS) stays with the CBS Library, which will also be responsible for helping the faculty in any necessary way in relation to publishing in open-access journals, retaining rights to open-access depositing or other problems arising from the implementation of the policy. Presently (November 2009) a more detailed storyboard for implementing and handling the open-access policy is being worked out by the library. Some of the key elements are briefly described in the following paragraphs.

The actual archiving of the individual document is done by the library as part of the process of research registration, where the library will contact the researchers to get a full text version of the articles. For more than 10 years the CBS Library has been responsible for registering the research at CBS and all the experience from this and the good relations to the researchers built up during that period will be put into action in order to create as smooth a procedure as possible.

CBS naturally supports the idea of publishing scholarly articles and papers in recognized, peer-reviewed, open-access journals or other open-access publication channels. The library will help identifying possible publication channels that fulfill this goal and provide overview of such publication channels. Although a substantial number of journals allow open-access archiving in one form or the other, there still remain many highly esteemed journals that not yet have developed an open-access policy of their own, but which are interesting and regularly used publication channels for CBS. This poses the question of retaining your copyright.

The faculty is encouraged to choose the best possible publication channel for their research results in terms of readership, but they are at the same time required to demand that publishers grant them the right to further use of their own work in teaching, collaboration with fellow scholars, and for open-access depositing. The library will assist in dealing with this problem. An addendum to a standard publishing agreement helping retaining these rights based on the Science Commons Scholar's Copyright Addendum, developed with SPARC and MIT, will be made available by the CBS

Library as well as a Danish version of a publishing agreement. Furthermore, the library offers help in negotiating with publishers in cases where the contract addendum is not immediately accepted by the publisher.

If articles are published in publication channels that are not readily accessible to the general public or require a subscription, copies of the article must be made available through OpenArchive@CBS. If an embargo is required by the publisher, an embargo period of up to one year will be respected. Handling of this is done smoothly in our repository, as you can just archive the article with a full text publishing date set at the appropriate time in the future.

If the publisher refuses to allow open-access archiving of the scholarly work and publication in this specific channel is deemed necessary, the Research Dean and the CBS Library will handle the demands for opting-out. If the library has not been involved in previous discussions with the publisher, the individual author must send a written notification to the library, which as the dean's designate handles the opt-out possibility. Only in controversial cases will the dean be involved. Since the whole purpose with the OA policy is to enhance the access to CBS research, articles, which cannot be archived because of restrictions from publishers, will nevertheless be registered in OpenArchive@CBS with bibliographical information, a short résumé and information about publication channel.

The two most common concerns raised by researchers in relation to open-access journals are quality, and economic barriers to publishing.

The question of quality deals mostly with uncertainties about the peer reviewing process in open-access journals, and the worries that the policy will be a hindrance to publishing in those journals within a specific field that are considered to be of highest quality. As described above, we think the opt-out clause is a pragmatic way of dealing with the latter problem, and as to the peer reviewing question we see no controversy. Quality open-access journals are offering just as rigid a peer reviewing and quality control process as toll-access journals do, and for CBS the quality of publishing channels has first priority. The economic barrier to publishing raises in many ways more serious problems. Quite a few of the business models for open-access journals comprises an element where authors, author's institutions or funding agencies pay for the publishing. This is not a totally new phenomenon. Long ago, toll-access journals introduced special fees for reproduction of figures, pictures, graphs and the like, even though the basic payment has been for usage, i.e. subscription, pay per view et al. In the open-access world this business model has been reversed by introducing author fees, which raises concern among researchers.

Who is going to pay for the publishing?

An individual institution can obviously not change the economic models governing publishing. Much more powerful players, like the National Institutes of Health or the Wellcome Trust, are needed. As soon as they demanded that publications funded by them should be made open-access, the toll-access publishing industry made special concessions to such articles, making them open-access within the stipulated embargo period. In a Danish context, we are waiting for our different research councils to introduce equal demands and to include publishing fees into the grants, and also for EU to do the same in all areas of research funding. Until then, what an institution can do is to try to set up a local publishing fund to support faculty members who want to make their journal articles open-access by paying reasonable publication fees required by open-access journals⁶. At CBS, we are planning to set up such a fund as a joint venture between the library and the Dean of Research. The details have not yet been worked out, but the idea is quite simple. As Stuart Schieber, director of Harvard University's Office for Scholarly Communication, says: "If the research community supports open-access publishing and it gains in importance as we believe that it will those fees could aggregate substantially over time. The (fund) ensures that support is available to eliminate these processing fees as a disincentive to open-access publishing."⁷

As mentioned above, this is only the beginning. A lot of hard work lies ahead and although I am sure time works for open-access it is difficult to predict the speed with which it will embrace scholarly publishing. As Schieber puts it in an article in PLoS Biology: "Scholars write articles to be read - the more access to their articles the better - so one might think that the open-access approach to publishing, in which articles are freely available online to all without interposition of an access fee, would be an attractive competitor to traditional subscription-based journal publishing."⁸ At CBS Library we have decided to raise the bar and aim high. Our 3 year perspective on archiving and thereby creating open-access to CBS research is: OpenArchive@CBS will contain 15% in 2010, 40% in 2011 and 75% in 2012 of all articles in peer reviewed scholarly journals and conference proceedings.

We might not reach our goal, but we will do our best. If you do not try you cannot succeed!

⁶ See the recent American initiative among 5 of the more prestigious universities: <http://www.oacompact.org/news/>
⁷ <http://news.harvard.edu/gazette/story/2009/09/harvard-joins-in-support-for-open-access-publication/>
⁸ <http://www.plosbiology.org/article/info%3Adoi%2F10.1371%2Fjournal.pbio.1000165>



Leif Hansen Senior Advisor, CBS Library

OPEN ACCESS AT SWEDISH UNIVERSITIES AND UNIVERSITY COLLEGES: FROM HEADWIND TO TAILWIND

Peter Linde, Helena Stjernberg, Aina Svensson

Introduction

The great majority of researchers have relatively little knowledge of the advantages of Open Access and are still not sufficiently engaged in the possibilities of making their research more visible and accessible. The research libraries have, therefore, during the last few years as far as resources have permitted, in different ways and to different extents, worked to increase researchers' awareness of Open Access.

In this article we, who have participated in two projects with the purpose of increasing researchers' knowledge and familiarity of Open Access, want to share some reflections and thoughts about our efforts to reach and inform researchers. Now, when the projects are almost over, some issues remain to think about. Have our information efforts within the projects had any effect? How can the research libraries continue to work with the spreading of information and increase researchers' awareness of Open Access? Which are the conditions today to get the message across compared to previous years? In which direction does the Open Access wind blow at Swedish universities and university colleges?

Background

To strengthen and coordinate the education efforts of the research libraries on Open Access two projects, financed by the program OpenAccess.se at the National Library of Sweden, have been carried out from 2007 to 2009. The principal purpose of the two projects has been to raise the competence of librarians and instructing staff and to give support to information work to increase researchers' knowledge of Open Access. Those who have participated in the projects are librarians at seven Swedish universities and university colleges.¹

The result from the first project "Open Access Education Package for Researchers" is available in the form of the Web site Open Access Information.² Here

¹ Blekinge Institute of Technology, Chalmers University of Technology, University of Gothenburg, Lund University, University of Skövde, Uppsala University and Växjö University.

² Open Access Information, in Swedish: <http://www.searchguide.se/oa/> and in English: <http://www.searchguide.se/oa/eng/>

texts, PowerPoint presentations and flyers about different aspects of Open Access have been collected and made available for downloading and local adaptation.³ With this educational material as a base for further competence development we launched the project "Researcher Meetings on Open Access". The purpose was to provide support to library staff at some Swedish universities and university colleges to plan and carry out seminars directed to the researchers and doctoral candidates at the local university or university college.⁴

From the autumn of 2008 to the autumn of 2009 five seminars targeting researchers were, carried out at Malmö University College, Mid Sweden University, Umeå University, the University College of Kalmar in collaboration with Växjö University, and at the University of Gothenburg. The remaining sixth seminar will be held in February 2010 at Karlstad University after the end of the project period. Via the project we have, for example, been able to offer financial support to invited lecturers, but also to the planning of programs and the choice of lecturers. An important goal has been to make the seminars locally adapted and, if possible, engage local researchers as lecturers.

Apprehensions about starting seminars

To build up an information site on Open Access is certainly something that demands a great deal of work, as it requires coordination and commitment from various participants and continuous updating, but it is hardly technically or practically problematic. However, we ran into quite a bit of insecurity when we tried to encourage and engage research libraries to arrange local seminars for researchers. It turned out that there were quite a few apprehensions among the library staff. Several universities and university colleges declined the offer after some consideration. It usually depended on a fear of involving and inviting visiting lecturers, and, possibly, have to face the fact that no researchers

³ During 2009 the site had about 200 unique visitors per week from the whole world.

⁴ More detailed information from the projects is given in the article *Swedish Researchers Meet Open Access – Project Progress Report* by Peter Linde in Sciecom Info 2(2009).

would register or attend the seminar. Generally, they had bad experiences from similar previous seminars, where no-one or only a few researchers had participated and they feared repetition.

Another reason was that people did not consider that they had time and resources for initiating and carrying out a seminar, as there is not always enough staff who work with Open Access and digital archives in the libraries. In one case there were instead wishes for a seminar being arranged to raise the competence on Open Access within the proper library organization. We were unfortunately not able to accept this, as the main purpose of the project is to have researchers and doctoral candidates as the target group.

Seminars of success

In spite of our apprehensions, the first seminar arranged in the autumn of 2008 at Malmö University College was both well-attended and appreciated. There was a majority of researchers and doctoral candidates in the audience, which made the subsequent seminar planning easier. This trend has then been maintained for the other seminars. Researchers and doctoral candidates have shown a great interest and participated in all seminars to a far larger extent than we had dared hope for. Most likely the success with the first seminar contributed to making it easier to interest new universities and university colleges in arranging seminars. Something that facilitated matters was also the ready program suggestion which could be used as a basis and inspiration for subsequent seminars.

Size-wise the seminars have attracted 70-90 participants with a predominance of researchers and doctoral candidates. All seminar programs have contained basic information on Open Access but have also discussed how citation and bibliometric analyses are affected by Open Access. At each seminar there has been one or several presentations of the researchers' own experiences of Open Access publishing. Furthermore, there have been presentations on how to locally handle, for example, self-archiving by means of the publishing system of the local university or university college.

Links to the seminars which have been carried out together with programs, presentations and in some cases video recordings are available at the respective local web site of the university/university college:

Malmö University College:

<http://www.mah.se/oa08>

Mid Sweden University:

<http://www.bib.miun.se/publicera/openaccess/seminarium>

Umeå University:

<http://www.ub.umu.se/infosok/E-publicering/OA.htm>

University College of Kalmar, Växjö University:

<http://www.bi.hik.se/oa.htm>

University of Gothenburg:

<http://www.ub.gu.se/info/konferenser/2009/oa/>

What was particularly successful?

The reasons for the success with the seminars might be various. The most important is, of course, to offer a well-composed program with presentations and subjects that are of immediate interest from a researcher perspective. The program for the seminar at Malmö University College was put together by their publishing group, which consists of representatives from researchers, teachers, and also librarians. This contributed to both good quality and good attendance at the seminar.

A good idea has been to engage one or several researchers as lecturers from the local university/university college. This provides an interesting angle of approach to one's own experiences of Open Access publishing. Something that also works well and is strategically important is to invite external lecturers from other universities/university colleges or research institutes. This shows that Open Access is not merely a local concern but in the highest degree something being discussed at other university colleges both nationally and internationally. One such example is that Erik Svensson, Professor in Zoocology at Lund University, participated in the seminar arranged in Kalmar where he talked about his experiences as editor of the Open Access journal PLoS One.⁵ At the seminar in Gothenburg two international lecturers participated, i.e. Dr. Salvatore Mele from CERN who talked about the SCOAP 3 project⁶ and Dr. Virginia Barbour, Chief Editor of PLoS Medicine, Public Library of Science.⁷

Another successful move was to begin all seminars with a general survey of Open Access, where concepts and definitions are explained, and possible misunderstandings can be cleared up. This gave extra emphasis to the presentation as we at several seminars had Inge-Bert Täljedal, researcher in medicine, previous Vice-Chancellor at Umeå University and chairman of the Steering Group for OpenAccess.se, as the opening speaker under the title "Why Open Access Can be Said to be the Ideal Form for Scientific Publishing". In a pedagogical manner he conveyed basic knowledge of Open Access at the same time as he, from a researcher perspective, could explain the

⁵ <http://www.plosone.org>

⁶ <http://scoap3.org/>

⁷ <http://www.plosmedicine.org>

advantages of increased visibility and access to research results.

The method of mixing global, national and local aspects, i.e. presenting Open Access both as a global concern and as a local and individual concern, worked well. In a global perspective more people can take part of the research as long as they have access to an internet connection. The global spreading of results is like rings on water both for readers and for authors. Locally, for the university college or university, you get a clearer profile of your research by making the material more visible. On the individual level the researcher may get more citations of her/his publications as these are made accessible and do not require a subscription. It is therefore important to tie together Open Access publishing with issues which concern the evaluation of publishing and citation analyses. At the seminars these aspects have been illustrated by invited lecturers with competence in bibliometrics. Finally, we can note that a decisive reason for our seminars being well-attended is, naturally, hard work and commitment from the local library staff who have spent much time on marketing their seminars.

Recommendations for new seminars

Some comprehensive recommendations based on our experiences from realized seminars before the planning of new seminars on Open Access for researchers:

- Anchor the seminar locally: Plan a seminar in collaboration with researchers or other employees at the university/university college in order to jointly plan a program following the wishes of the researchers.
- Choose your point of time: Plan the seminar, if possible, in connection with a policy decision for Open Access or in connection with the launching of new services in the local publishing system.
- External lecturers to be helped along: Engage one or several external lecturers with experience of Open Access publishing, alternatively researchers with experience of academic leadership.
- Engage lecturers locally: Engage one or several lecturers from the local university/university college to talk about her/his own experiences of Open Access.
- Open Access and bibliometrics: Combine presentations on Open Access with bibliometrics and research assessment.
- Cooperate with other universities/university colleges: Facilitate and inspire the work by planning or coordinating seminars together with colleagues at another research library.

In which direction is the Open Access wind blowing at Swedish universities and university colleges?

So what is then the situation for the research libraries concerning the information work which is carried out there today? Do we believe that it has become easier to inform researchers about Open Access? Well, certainly we can note that there has been a change and that it has become easier to interest researchers in the subject. Today Open Access is a relatively well-known concept for researchers and doctoral candidates and, therefore, raises interest and attracts an audience to seminars to a larger extent than what it did just a few years ago. The reason for this is probably that Open Access is mentioned in more contexts, in connection with publishing or in the scientific debate and thus not merely by the libraries. The fact that an increasing number of research funders require Open Access to research results funded by them contributes to giving the subject more emphasis and also makes researchers, doctoral candidates and other staff more interested in gaining knowledge about development within the area. The details on how Open Access publishing works are, however, not equally well known, and therefore this type of seminars works very well for informing audiences on matters concerning, for example, self-archiving, copyright, and increased visibility.

New information work will definitely be needed for a long time to come at our Swedish universities and university colleges due to the Swedish Research Council's (SRC) recently adopted policy regard to Open Access. SRC now requires that research funded by the Council must be freely accessible within 6 months after publication. The requirement applies to researchers who receive grants via the Research Council's calls for proposals from the turn of the year 2010.⁸ Even if not all researchers are directly affected by the decision, the Open Access policy adopted by the SRC raises many issues, which the libraries may help to answer via direct contacts or seminars. Information campaigns are now needed on how to find Open Access journals and hybrid journals, on what OA means, costs, and how you pay for Open Access publishing. How do you self-archive in the local open archives, and how can the researcher get help and support in doing this? Here are many new questions from researchers that libraries can help to answer.

The expansion of the local publishing databases and the development of SwePub, a new national search service for Swedish research publications, have helped raising awareness among researchers and to increase

⁸ The Swedish Research Council's web page. <http://www.vr.se/>

their willingness to contribute. A majority of Swedish universities and university colleges today require bibliographic registration of research publications. Furthermore, the Swedish Research Council has shown an interest in using SwePub as a basis for national distribution of funds, which further increases the motivation to register one's publications. As researchers get used to entering information about their publications in their local databases, this contributes to the conditions for also adding full texts. With the right support from the libraries this does not involve any greater effort from individual researchers.

It is obvious, that we have now entered a new phase when it comes to working with Open Access. We have gone from *what* to *how*. From missionizing on what the Open Access initiative means to a phase when we above all must concentrate on how to describe the practicalities of Open Access publishing. And here the libraries continue to play an important role. It is now a matter of not losing speed, and instead making use of the occasion, to create contacts and cooperation with the researchers. The Open Access wind is growing. When we stick a finger into the wind it feels like a weak but still a clear tailwind. It is now a matter of intensifying the activities and of being prepared to hoist the spinnaker.



Peter Linde Blekinge Institute of Technology



Helena Stjernberg Lund University/Ferring Pharmaceuticals A/S



Aina Svensson Electronic Publishing Centre, Uppsala University Library

THESEUS.FI – OPEN ACCESS PUBLISHING IN THE FINNISH UNIVERSITIES OF APPLIED SCIENCE

Herkko Hietanen, Anna-Kaisa Sjölund

In 2008, Finland's universities of applied science created a digital repository for theses and research publications at <http://www.theseus.fi>. The essential goal of this project was to build an accessible, user-friendly, flexible, transformable digital publishing platform and repository for academic thesis and research papers.

The Theseus project was founded together by Finland's Ministry of Education and the country's 26 universities of applied sciences. The joint venture consisted of two parts: An open access web journal and a repository for publications. The universities of applied sciences in Finland agreed on an open access statement to guide their publishing policies. One of the guiding objectives of the Theseus project is to promote open access publishing among the collaborating universities.

The guiding principles of open access and open source solutions are visible throughout the publishing system. Authentication of the theseus.fi service uses Shibboleth software, students can choose a Creative Commons license for their publications, and the platform is built on open source DSpace software.

Theseus.fi

The Theseus project combines the digital repositories of the 26 participating universities of applied sciences. The repository is expected to digitally store and make available over 20.000 new academic theses annually. The digital repository solves the problems of access, storage, and preservation in a user-friendly fashion.

The repository consists of several technology layers that are provided by different technology partners. The key technology that the repository uses is the DSpace platform. DSpace is open source software that enables open sharing of content. The platform is localized by the National Library of Finland who is also responsible for the technical integration of theseus.fi system.

The Theseus repository relies on author publishing. Students upload their theses to the repository themselves. In order to ensure that the system is reliable, the publishing procedure includes electronic authentication, which will be carried out by the Haka Federation, the identity federation of Finland's higher

education and research institutions. The Haka Federation, which is operated by the IT Center for Science, uses Security Assertion Markup Language 2.0 technology and open source Shibboleth software. Haka users are able to access federation services using a single user account and password. In this case, users, students, and teachers, are able to access the services using their home organization's username and password.

Legal issues

Copyright issues are important for any text repository. Theseus has tackled these issues by incorporating a reliable identity management system into the publishing procedure and by enabling authors to choose a Creative Commons license for their published works. Providing information for authors and their instructors about the distribution and licensing policies was one of the challenges of the Theseus project.

The creation and storing of copyright metadata is an integral aspect of the Theseus publishing procedure. The publishing system automatically creates copyright information with responding metadata for every published work. The reason for choosing Creative Commons (CC) licenses was their interoperability and popularity in the academic world. The CC licenses provide a free, easy way to express the rights that are granted for use of the work. The attachment of legal metadata serves the purposes of wide dissemination of works by creating clear legal rules for sharing those works while at the same time respecting the authors' copyrights.

The Ministry of Education has published a policy for academic thesis restricting the use of trade secrets in theses and forcing public access to theses. Until now, many of the participating universities have kept their theses available only within their own libraries. Several of the universities of applied sciences have close R&D co-operation with companies. The trade secret and open access demands of the theses policy has turned out to be complicated.

Open access offers visibility for universities, sponsoring companies, and students. However, students often write their theses about practical problems they have helped to solve with their sponsor. This means that

sponsors and students have to consider whether they have utilized trade secrets in their work. Public availability of theses in an easily accessible database means that a sponsor's competitors can freely access a project and its results.

Nevertheless, the interests of openness and students working with trade secrets do not have to conflict. Student instructors will need to advise students and sponsors early on to formulate their research questions so that trade secrets are not jeopardized.

Problems with implementation

The implementation of Theseus has faced several challenges. While DSpace is used in several universities, there were no reference implementations for the Creative Commons licensing module. The project management had to decide the licensing features and procedures that the publishing process was to include. The DSpace platform and the use of PDF files added technical restrictions on how license selection could be implemented.

As the Creative Commons licensing model is rather novel, some of the technology providers had a hard time understanding the rationale for using such licensing. This was reflected in an unwillingness to find creative solutions for technical problems, despite their client's clear policy that the Creative Commons licensing was to be a feature of the publishing system.

The biggest problem left unresolved was the attachment of licenses to the published documents. When authors enter the publishing workflow at the Theseus system, they typically have their work prepared and transformed into a PDF document. However, the publishing system creates a permanent URN-address for the file, metadata, and licensing information that would be beneficial to have stored in the PDF document. For example, people often link directly to the main document and if the link is not attached to the PDF document, the valuable metadata information that the system generates does not travel with the work.

One way of adding the metadata would be to have an automatic operation in which the system generates a metadata page that is attached to every published document. However, the idea of automatically modifying an authors' works, which might be technically protected, raised concerns, and the project decided not to add metadata pages to documents.

Streaming

Text is not the only form in which theses are produced by participating universities. Students also demonstrate their skills and ideas using videos, computer programs, and music. Most theses are still in the traditional written format but many of them include sound samples and video. Another important user group for Theseus is students and researchers who dependent on sign language. Streaming has been understood as a means of presenting theses and other publications in sign language. For these reasons, Theseus wanted to provide means by which audiovisual content could be stored and shared by streaming.

Streaming applications turned out to be too complicated for universities. For some of the universities, there were too many steps before the video is on the Internet. During the pilot period, only one university took advantage of the streaming module. However, Theseus does have these streaming capabilities.

Conclusions

The twenty-six universities of applied sciences in Finland have taken a huge step towards open access to academic research. The universities of applied sciences have been open-minded in choosing to catch, together, the open access ball, which has been rolling since 1966. The active development of the Theseus platform will end in December 2009 and the software will be available for use in 2010.

One of the takeaways is that building an academic publishing platform is not merely a technological exercise. Students, teachers, and sponsors must be familiar with the rules of open access publishing well in advance. It is also necessary to have a clear mission statement for the project that all participating schools and publishing authors support. For Theseus, this boils down to the following statement: "After 1 January 2010, the Universities of Applied Sciences will require all teachers and researchers who work at the universities to save a copy of their research essays that are published in scientific publications, or a university publication series, in the open electronic library, Theseus." (<http://theseus.fi/en/julkilausuma.html>) With this statement and the Theseus publishing system, the Finnish universities of applied sciences are playing their part in the global open access movement.



Herkko Hietanen, PhD., Turre Legal Oy.



Anna-Kaisa Sjölund Library Coordinator, Open Access Project, Seinäjoki UAS

OPEN ACCESS: MAXIMISING RESEARCH QUALITY AND IMPACT SEMINAR

Iryna Kuchma

Iryna Kuchma reports on the Open Access: Maximising Research Quality and Impact seminar which took place at the University of Latvia on 22 October 2009, organised by the University of Latvia (LU), the State agency "Culture information systems" (KIS), and eIFL.net during International Open Access Week (October 19-23, 2009).

Introduction

The Open Access: Maximising Research Quality and Impact seminar [1] brought together 78 researchers, research managers and policy-makers, journal editors and publishers, librarians, and ICT specialists to discuss the latest developments of the open access movement and to debate how to raise the visibility of research outputs from Latvian universities and research organisations, and how to build their capacities in global knowledge sharing. In his welcoming speech, Prof. Indrikis Muiznieks, LU vice rector, confirmed, that LU is looking forward to explore the benefits of open access as a viable solution to existing problems in scholarly communication.

The seminar started with an overview of the evolving scholarly communication environment and the benefits that open access brings to researchers – enlarged audience and citation impact, tenure and promotion; to policy makers and research managers – new tools to manage a university's image and impact, and to research libraries. It was stressed, that today's science and research are dynamic and collaborative and it is important to sustain the communication processes, rather than simply archive research results in the form of a single journal article.

The seminar covered a wealth of topics, including the economic, social and educational benefits in making research outputs available without financial, legal and technical barriers to access; how open access and institutional repositories can help to maximise the visibility of research publications and improve the quality, impact and influence of research; how to disseminate research results in the most efficient way and how to collect and curate the digital outputs; how to showcase the quality of research in universities and to better measure and manage research in such institutions. Practical sessions addressed open access policies, copyright management – licensing open access content to avoid confusion regarding use and reuse –, recommendations how to explain the need for

a repository and its expected benefits, how to write a strategic plan and compile business cases.

This report focuses on two case studies from Lithuania and Ukraine and on the challenges and opportunities for research publications in Latvia.

Open access projects in Lithuania

Dr. Žibutė Petrauskienė, Vilnius University Library, presented the open access projects and policy landscape in Lithuania and shared a case study of the Lithuanian Academic e-Library (eLABa).

She introduced both the national level initiatives – Article 45 of the Law on science and studies (from 12 May 2009): Publicity of the results of scientific activity and the institutional level initiatives – Regulations of Open Access to Scientific Information of Vilnius University (accepted by the University Senate Committee on 8 October 2009).

She also provided updates on the eLABa collections, and its participating institutions, and on the public availability of Lithuanian ETDs – 56% of ETD collection or 6616 documents (as of September 2009) [2]. Among the problems she listed were lack of institutional policies, copyright management, lack of interest from institutional and national level decision makers, and lack of financial support from the national funding programs.

eLABa represents the best practices of open access in Lithuania, bringing benefits to institutions, researchers and the state. The eLABa implementation promoted scientific research and usage of research results in research institutions, the business sector and in other communities both in the EU and globally, thus creating a common research framework. The Ministry of Education and Science recognized eLABa as an important development and provides support.

Open Access projects in Ukraine

Tetiana Yaroshenko, University Librarian and Vice President for IT, National University of Kyiv Mohyla Academy, presented the governmental and institutional open access policy landscape and the collective actions of universities and libraries to promote open access. She described the implementation of a national open access mandate – open access to research funded by the state budget of Ukraine is required by the Law of Ukraine "On the principles of Developing Information Society in

Ukraine in 2007-2015". To implement this mandate, the Vernadsky National library of Ukraine created a full text registry of 965 journals [3] and a DSpace repository.

She also mentioned the Olvia Declaration of the Universities: Academic Freedom, University Autonomy, Science and Education for Sustainable Development, endorsed by 26 rectors of Ukrainian universities in Yalta, Crimea, on June 12, 2009. Open access to research information is described in the Article 2.6: "Academic freedom includes open access to information (except reasonable exceptions specified by the law of Ukraine), including open access to research information through the development of open repositories and open access journals in the universities, and the ability to communicate freely with the peers in any part of the world. Open access to information is a significant part of the research in today's globalised world, a key to further development of science, education and society, and Ukraine's integration into the global academic community."

Moreover she presented an Open Access to Knowledge statement, endorsed by more than 150 Ukrainian University librarians. In this statement the libraries ask researchers to support open access and to self-archive their research papers, reports, dissertations, educational materials etc. in open institutional repositories, to publish articles in open access journals, and to retain their copyright. They ask universities and research institutions to implement open access policies and strategies, to provide open access to the full-text peer-reviewed research outputs produced by faculty and staff; and to launch and develop open institutional repositories and open access journals: all with the ambition to raise the scientific quality, social and economic value of the research. Academic journal publishers are asked to allow self-archiving of post-prints, to request only the rights needed to publish an article, to cancel or shorten the embargo periods, and to provide the published versions of the articles to the relevant open institutional repositories.

In the second part of her presentation she highlighted open access journals and repositories from the Ukraine, the open access mandate in Ternopil State Ivan Puluj Technical University [5], and shared a case study on the institutional repository in her own institution – National University of Kyiv Mohyla



Iryna Kuchma eIFL Open Access program manager, eIFL.net
Email: iryna.kuchma@eifl.net
Web site: <http://www.eifl.net>

Academy.

Challenges and opportunities for research publications in Latvia

Indra Dedze, project manager at the LU Academic Department, presented challenges and opportunities for research publications at LU with its 90-year long history. LU academic staff annually publishes on average 3, 000 research papers, but these are not widely available and it is important to help the library setting up an institutional repository to collect the research papers and provide access to them.

Aija Putniņa and Ruta Garklāva, LU, and Kristīne Pabērza, LU/KIS led a discussion about culture of trust, technical aspects of open institutional repositories and advocacy for open access.

Uldis Zariņš from the National library of Latvia, gave a talk on the role of the national library in collecting information and ensuring perpetual availability, and on the role of the state in the copyright debate.

LU plans to set up an open institutional repository pilot in Latvia and the workshop participants will be working together to develop strategies for collective advocacy of open access to research results in Latvia.

References

1. Open Access: Maximising Research Quality and Impact workshop, University of Latvia, 22 October 2009
<http://www.lu.lv/zinas/t/751/>
2. Open access projects in Lithuania by Meilė Kretavičienė, Library and Health Sciences Information Center, Kaunas University of Medicine, dr. Žibutė Petrauskienė, Vilnius University Library and Antanas Štreimikis, Department of Information Technology Development Center, Kaunas University of Technology
[http://www.lu.lv/fileadmin/user_upload/lu_portal/petnieciba/konferencijos/prezentacijos/2009/open-access/Open Access Projects in Lithuania.ppt](http://www.lu.lv/fileadmin/user_upload/lu_portal/petnieciba/konferencijos/prezentacijos/2009/open-access/Open%20Access%20Projects%20in%20Lithuania.ppt)
3. A full text registry of 965 journals maintained by the Vernadsky National library of Ukraine
<http://www.nbu.gov.ua/portal/>
4. DSpace repository of the Vernadsky National library of Ukraine
<http://dspace.nbu.gov.ua:8080/dspace/>
5. OA Self-Archiving Policy: Ternopil State Ivan Puluj Technical University
<http://www.eprints.org/openaccess/policy/signup/fullinfo.php?inst=Ternopil%20State%20Ivan%20Puluj%20Technical%20University%20%28ELARTU%29>

REPORT FROM THE NOAP CONFERENCE: NORDIC SCIENTIFIC AND SCHOLARLY JOURNAL PUBLISHING – INTERESTING TIMES

Kristoffer Holmqvist

The one-day seminar *Nordic Scientific and Scholarly journal publishing – interesting times (NSSJP)* was held in Uppsala the 25:th of November. Representatives from various Nordic countries and with different professional backgrounds were invited to give their views on the situation of Open Access Publishing as of today. The perspectives that were discussed included Business Models, Journal Support Tools and Copyright Issues.

Business Models

Jan Erik Frantsvåg¹ gave an instructive presentation about the financial conditions and insights in the fast growing Open Access Publishing area - or - rather the lack of economical insights. Frantsvåg with a background as an economist argued that academic and university administrators often tend to equate costs with invoices, a common misinterpretation that could harm longtime survival of journal publishing. *All costs have to be considered, e.g. use of resources and strategies regarding longevity. The resources have to be identified (man hours and technical infrastructure), the pricing of the resources must be specified, and possible allocations of administrative tasks must be considered.*

Frantsvåg also described different business models and possible income strategies. *Commercial income, Advertising income, Sale of supplementary products, Support, External grants and Partnership* were some of the income solutions he suggested, before leaving the audience with three bullets of advice:

- Know your economy!
 - Find out who you serve, with what – who are your customers and what are your value propositions?
 - Are there receivers of value that do not contribute to your financing?
 - What commercial sources of financing could you reasonably exploit?
- Co-operate in order to exploit economies of scale
- If you don't know where you are, how can you find your way to where you want to be?

The importance of identifying customers and establish value propositions was also stated by Niels Stern² and Marianne Alenius³ of Museum Tusulanum Press, when they presented case studies of four publications; *Ethnologia Europaea, Classica et Mediaevalia, Ideas in History* and *MoG - Meddelelser om Grønland*. The situation of the four publications differed, although the fear of losing subscribers and the potential loss of visibility seemed to be two common and important challenges to focus on in the future. New marketing strategies for increased visibility (database indexing, Google Adwords, RSS feeds...), print-on-demand solutions, and the need of extra grants were some of the conclusions made by Stern and Alenius. Business solutions by advertising and/or author pays models were not embraced, either by the editors or by the publishers.

OA Tools

Bergen Open Access Publishing (BOAP) started as a publishing service at the University of Bergen Library in 2008 and is now a national service. As of today, BOAP hosts two journals and there are demands from several other journals to be included in the project. The project also aims to facilitate archiving and access to monographs. BOAP receives support from Norwegian Open Research Archive (NORA) and is using Open Journal Systems as software. Although the project recently started, Ingrid Cutler⁴ presented some of the experiences gained so far and described some possible outcomes of the project.

There is an interest among universities and faculties to disseminate their research through an Open Access journal. BOAP is currently financed as a project. Cutler doubts that this form of financing ensures longevity. Money and time can be saved if administrative tasks can be centralized, the need for streamlining and coordination of tasks must be considered and best practice guides and OJS courses have to be held for the people involved in the hosting. The need for added values was also emphasized, for example indexing templates and print-on-demand solutions. Cutler finished up by stating that the library is a natural resource for assisting the university in dissemination of research. The task, however, takes time and a new type of library staff is needed.

¹ Universitetsbiblioteket, IT-drift, formidling og utvikling, Universitetet i Tromsø, Norway

² Marketing Manager, Museum Tusulanum Press

³ Managing Director, Museum Tusulanum Press

⁴ Senior Executive Officer, The University of Bergen Library

David Lawrence⁵ added that not only the organization behind the hosting service needs to be solid. It is also important that the hosted journals can guarantee longevity. If a journal suddenly ceases to exist, the work and money spent on setting up the journal, education and administrative tasks for the host, is wasted. In his work with Linköping University Press, Lawrence has learned the following lessons when setting up an Open Access journal.

- During approval process look carefully at conditions for continuity/survival
- It is best (essential?) that more than just a research group is involved in the editorial process
- Formal procedures for regular quality control
- Editorial support system
- Flexibility
- Google visibility

The business model behind Linköping University Press is quite simple. The journal hosting is based on donated time. There are no author-fees, no advertising, no memberships, no “pay-for” options.

Caroline Sutton⁶ presented a different business model, when she described the idea behind Co-Action Publishing. The for-profit publishing house hosts five scientific journals, and five more will be added next year. The hosted journals are all Open Access and the articles are published with Creative Commons Attribution-Non Commercial 3.0 Unported licence. Although the hosting is financed by author fees, printed version subscriptions and commercial copyright transfers, the ideas behind preparing of and launching Open Access scientific journals are similar to other Open Access publishers; the importance of identifying *resources*, *activities* and *costs*.

Copenhagen Business School offers a service similar to the Bergen Open Access Publishing. The hosting service Ejournal@CBS started in 2005 and is available for journals related to the Copenhagen Business School. The software used is OJS and the staff behind Ejournal@CBS offers:

- Help setting up the journal
- Training for editorial staff
- Backup
- Technical support along the way
- Support in relation to copyright, digitization etc.
- Institutional/national network

All support is free of charge.

As of today the service hosts seven scientific journals. In order to offer the best support possible, it is suggested that a Nordic OJS User Group should be established. Cooperation between Nordic users could facilitate the switch of focus from system and development issues to questions regarding hosting services and support.

Copyright, Funding & The future

The SURF/JISC Licence to Publish is being translated into the five Nordic languages. Questions, however, have been raised about some of the aspects in the agreement. Ingegerd Rabow⁷ presented a series of critical comments made by legal experts. Jan Rosén, Professor of Private Law at Stockholm University stated that the licence “places the Publisher in the centre in a way that is probably unprecedented in praxis up till now”, Rosén continues: “The Publisher becomes the hub around which all article management turns, even those rights said to belong to ‘the Author’”. Johan Bengtsson at Lund University Legal Department considered the licence being “much more advantageous for publishers than for authors” Bengtsson also proposed concrete changes in the agreement. SURF has commented on the changes and parts of the licence will be re-written. A revised version of the licence has not yet been published. For updated information in this matter, see the licence section on the JISC web page⁸

Representatives from The Danish Research Council for the Humanities and the Norwegian Research Council summed up the seminar by presenting their experiences on the funding of scientific journals. In Norway, the Publication grants for the Arts & Humanities and Social Sciences (PUBL) supports scholarly journals and publication of scientific monographs and anthologies. High scientific quality is a key criterion and the internationalization of Norwegian research through non-Scandinavian publications is supported. In 2003-2008 119 applications were directed to the PUBL. Last year, 27 journals were supported with an average of € 10.000/journal. Evaluation of the supported journals is made, although it is suggested, that a more frequent and exact evaluation should be established. Bibliometrics as well as qualitative reviews will be used. No grant applications for Open Access journals have been received so far and in order to consider future Open Access applications the following conditions must be fulfilled:

⁵ Linköping University Electronic Press

⁶ Publisher, Co-Action Publishing

⁷ Senior Librarian, Lund University Libraries, Head Office, Lund University, Sweden

⁸ <http://copyrighttoolbox.surf.nl/copyrighttoolbox/authors/licence/>

- Successful applications must comply with established standards
 - Peer review, high scientific quality and impact
 - National and/or international audience with a documented demand (number of unique readers)
- Financing model
 - The Research council will not fully finance OAJs
 - Other funding from institutions, submission fees, etc
 - Need for a realistic publication costs approach
 - Grant value may be based on planned number of articles, number of pages or other standardized parameter
- Exemption from this requirement may be given for a transitional period
- For a transitional period it is possible to apply for extraordinary funding to set up a digital platform
- It is possible to apply for separate funding to cover retro-digitalization of older issues

Erik Sandewall⁹ rounded the seminar off by presenting his views on publication and peer review of *Evolving Publications*. An evolving publication is a container of information objects, where additional objects, such as comments, amendments, collections of data etc, can be added by other authors continuously. Since the internet already is the major instrument for dissemination of scientific information, Sandewall argued, the scientific publication must be adapted to this new context. However, there are issues that need to be studied and problems that have to be solved. The peer review and the quality control of the added objects must be assured and there must be technical implementation available to support the evolving publications. The Experimental Electronic Press¹⁰ is meant to serve as a framework for exploration of these new ways of organizing publication and access to publications.

The Danish Research Council for the Humanities (FKK) also supports Open Access journals and presented similar key criteria:

- Electronic journals must be free and openly accessible on the Internet
- Printed journals must have a website from which the articles are free and openly accessible as e-journals no later than one year after the publication of a volume

NOAP is a Nordic library project directed towards aiding Nordic scientific journals to consider and implement an Open Access publishing model. The project aims at both creating a publicly available knowledge base for journals considering such an option, and at conducting actual establishing of Open Access journals or transitioning traditional journals to an Open Access model in order to gain practical experience with such a process.

The participants are:

Museum Tusulanum Press, Copenhagen, Denmark - Copenhagen Business School Library, Copenhagen, Denmark - Lund University, Lund, Sweden - Linköping University, together with Royal Institute of Technology (Stockholm), Sweden - University of Oslo, Oslo, Norway - University of Tromsø, Tromsø, Norway - University of Helsinki, Helsinki, Finland -Federation of Finnish Learned Societies, Helsinki, Finland - Co-Action Publishing, Sweden



Kristoffer Holmqvist
Lund University
Libraries, Head Office,
Lund University

⁹ Linköping University & KTH – Royal Institute of Technology
¹⁰ <http://xpep.org/> Cooperation project between IDA at Linköping University and PI at KTH. (IDA = Department of Computer and Information Science; PI = the Division for the Infrastructure of Publishing, adjoined to the KTH Library)