

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