

Abstract of Presentation

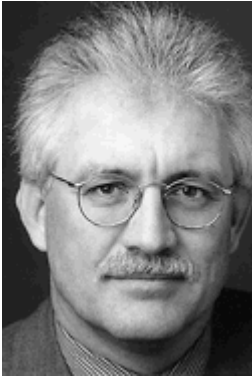
Open Access Publishing: The libraries perspective Wolfram Neubauer

From a general point of view, the open access movement leads into the right direction: It is a starting point to discuss the highly dissatisfying situation in the scholarly journal market and gives us at least the opportunity to show the academic world where the problems and challenges really are.

From a library point of view open access does not only have positive perspectives, for open access does not necessarily mean “free of charge”; at any rate someone has to pay.

The presentation gives a short overview about the everyday problems of the journal business at a science library and describes the possible financial implications of the open access movement for a technical university.

CV of Presenter



Title: Dr.
Name: Neubauer
First Name: Wolfram

Position: Director ETH Library and Collections

Institution: ETH Zurich

Background: From 1973-79 mineralogical and chemical studies at the Munich Technical University and University of Munich. 1979 diploma degree in Mineralogy at University of Munich. 1982 Dr. of Science at the same institution.

Job history: From 1983-1987 Director Central Library of Boehringer Ingelheim, Germany, from 1987-1996 Director Central Library at Research Centre Jülich, Germany, since 1996 Director ETH Library and Collections, Swiss Federal Institute of Technology Zurich.

Project manager of the Consortium of Swiss Academic Libraries and of the national project "Electronic Library Switzerland", E-lib.ch.
Besides this member of many national and international library-related committees

Abstract of Presentation

Open Access Publishing: How Will We Pay for It?

Lynne Withey

The movement for open access publishing began as a reaction to rapidly escalating subscription fees for journals and the enormous pressures placed on library budgets as a result. More recently, the movement has gained adherents motivated by a belief that scholarly research should be made broadly available without regard to cost. Until recently, little attention has been given to the question of how we will fund open access publishing in the absence of subscription revenues. This talk will review the emerging business models for open access publishing, focusing particularly on journals but also including some discussion of reference works and books. These business models fall into two broad categories: payment by end users or their proxies (the traditional model for most publishing) and payment by authors or their proxies (universities and funding agencies). The latter, often referred to as the “author pays” model, is emerging as the primary method for funding open access journals. Other models include advertising, sponsorship, direct institutional support, and hybrid subscription/OA arrangements. Similar models are being used to support reference and online multimedia projects, but in book publishing (where OA is much less highly developed), the dominant model combines online OA with print sales. This talk will discuss the various models and their pros and cons, concluding with some discussion of the need for multiple revenue sources and broad institutional strategies for publishing if OA is to succeed.

CV of Presenter



Title: Dr.
Name: Withey
First Name: Lynne

Position: Director, University of California Press

Institution: University of California

Specialization: Publishing

Background: Ph.D. University of California, Berkeley (History)
A.B. Smith College (Magna cum laude, American Studies)

Job history: University of California Press: Director, 2002—present. Associate Director, 1993–2001. Assistant Director, 1986-93.
University of California, Office of the President: Assistant to the Senior Vice President for Academic Affairs, 1983-85; Senior Administrative Analyst, Department of Student Academic Services, 1980-82.
University of California, Berkeley: Lecturer, Department of History, 1980-88.
University of Iowa: Assistant Professor, Department of History, 1974-79.
Boston University: Visiting Assistant Professor, Department of History, 1977-78.

Abstract of Presentation

Rethinking Open Access

Michael Hagner

After the first release of the Budapest Open Access Initiative in 2002, it seemed that the international movement „to make research results in all academic fields freely available on the Internet“ would lead to unequivocal acceptance. Recently, however, strong objections have been raised against Open Access (OA). OA would neither lead to a reduction of costs for tax payers, nor would it democratize the publication of research results. On the contrary, it was argued that OA might lead to an incapacitation of researchers and scholars. Are these apprehensions justified? In my talk I will argue that I see only few problems in the further introduction of OA in the sciences, though this process should be accompanied by careful observation with respect to the costs and benefits. Given the standardized format of scientific papers, there is no significant difference, whether the research results are published in print or online. The situation is different in the humanities, because the most important publication format in many disciplines is the book and not the journal article. If academics are forced to make their research available freely on an Internet Server (as it is proposed by several research organizations, institutions and foundations), this will inevitably lead to a decline of academic publishers and of the book culture. In conclusion, it seems that there are two cultures of OA. That means to rethink OA's possibilities and limitations with hindsight to the needs of various academic disciplines.

CV of Presenter



Title: Professor
Name: Hagner
First Name: Michael

Position: Professor for science studies

Institution: ETH Zurich

Specialization: Historical epistemology of the human sciences, strategies of visualization in the life sciences including the relationship between art and science, history of cybernetics

Background: Michael Hagner studied Medicine and Philosophy at the Freie Universität Berlin (1980-86). After gaining his M.D. in 1986, he worked as a neurophysiologist at the FU Berlin. In 1989, he was a visiting scholar at the Wellcome Institute for the History of Medicine in London. He worked at the Institute for the History of Medicine and Science in Lübeck (1989-91) and at the Institute for the History of Medicine in Göttingen (1991-95), where he obtained his habilitation at the Medical Faculty (1994). In 1995 he received a Heisenberg grant from the German Research Foundation and moved to the Max Planck Institute for the History of Science in Berlin. Since 1997 he has been senior scientist at the Max Planck Institute. Hagner was visiting professor at the universities of Salzburg, Tel Aviv, Frankfurt am Main and Cologne. He was a fellow at the Collegium Helveticum (2001), at the Zentrum für Literatur und Kulturforschung in Berlin (2006 and 2007) and at the Maison des Sciences de L'Homme in Paris (2008). He has been awarded the Prize of the Berlin Brandenburg Academy of Science in 2000; in 2008 he has been awarded the Sigmund-Freud-Preis für wissenschaftliche Prosa by the Deutsche Akademie für Sprache und Dichtung.

Abstract of Presentation

Open Access scholarly journal and monograph publishing in the humanities and social sciences – a Scandinavian approach

Marianne Alenius

This presentation will attempt to outline the current situation in Scandinavia concerning scientific journals and attitudes to Open Access. Museum Tusulanum Press's participation in the Nordic journal project *Aiding Scientific Journals Towards Open Access Publishing* will be discussed along with the results emerging from MTP's experiences with Nordic editors of journals. A European Open Access project concerning scientific monographs within the humanities and social sciences, OAPEN, in which MTP is also a participant, will be outlined for purposes of comparison.

While financial advantages of Open Access publishing were eyed at the beginning of this century – it was imagined that the publisher could be eliminated by employing this method of publication – the reverse seems to be true today. By attempting to oversee the entire process themselves, journal editors have realized how difficult this feat is. Many of the best editors and particularly the younger scholars express their need for professional assistance from publishers. Being employed in time limited positions and being subjected to regular bibliometrical quality and quantity requirements, they find no time for some of the invisible tasks in journal editing such as production, information and distribution, or more specifically: technical aspects, copy editing, the clearing of rights, proofreading, etc. Editors are further particularly interested in publishing under the aegis of a publishing house with a brand of high quality, since they are not themselves capable of meeting the demands and challenges that are involved in making visible the quality of the journal. This goes for editors of printed journals for sale as well as editors of Open Access journals. Due to all this, an apparent need for two different types of publishers has emerged. These will be described.

Finally the standing question of how to finance Open Access publishing will briefly be addressed. It is necessary to pay for the services rendered, but the lack of sales of the end products makes the budget unstable. There is therefore a need for foundations – seeing that there is no tradition within the humanities for article processing fees. Museum Tusulanum Press is ready to engage in collaborative projects concerning Open Access journals with the IARU universities with a view to drawing attention to and experiences of levels of quality on a global basis.

CV of Presenter



Title: Dr.
Name: Alenius
First Name: Marianne

Position: Managing Director

Institution: Museum Tusulanum Press, University of Copenhagen

Specialization: Scholarly Publishing and e-Publishing in Humanities&SS. Fundraising. Research.

Background: Born in Finland. Grew up in Denmark. Graduated from the University of Copenhagen. as M.A. in Classical Philology in 1978. Ph.D. in Nordic Language and Literature in 1989. Scholarly specialization and publications in studies in Seneca the Stoic Philosopher, Scandinavian Learned Women (1500-1800), History of letter writing. Co-founder of Museum Tusulanum Press in 1975.

Job history: 1979-1989: Research fellow at the University of Copenhagen, Institute of Classics
1989-1996: Library Consultant in Fundraising (building project) and publishing for The Royal Library in Copenhagen
Since 1989 Managing Director at Museum Tusulanum Press, a scholarly press at Copenhagen University, focused on Humanities and Social Sciences (www.mtp.dk)
Since 2002 also head of a project for electronic publishing at Museum Tusulanum Press
Since 2008 partner in a Scandinavian project for Open Access journals (NOAP) and Danish partner in a European project of Open Access monographs (OAPEN).

Board member of The Danish Publishers Association and member of the board of The Danish Copyright Centre (CopyDan). Former president (now vice president) of the Danish association of University Publishers.

Member of The Danish Society for Language and Literature and of The Society for Danish History of Culture.

Abstract of Presentation

Openness and Publication: An Institutional Perspective

Robin Stanton

Openness is an enduring and deeply entrenched value within university communities. It enables and facilitates enquiry, discovery, access and knowledge transmission. A more open university is held to be a stronger university.

The impact of the Internet includes a concern to maintain and enhance traditional values, such as openness, as old ways of pursuing teaching, research and outreach are questioned and new norms evolve in a world of increasing connectivity.

Openness has a special role as institutional policies and scholarly practices adapt to emerging information cultures. This is particularly true in traditional scholarly publication areas. Restructuring is underway in traditional peer-reviewed text-based materials publications with multi-media and data-sets not far behind.

The uptake of opportunities to move to more open institutions has, for a variety of reasons, fallen short of expectations. Public and institutional policies play important roles in this respect. Facilitation of change through targeted incentives and enabling infrastructures is on many institutional agendas.

The presentation outlines institutional challenges for greater openness; especially in publication areas. Public policies, supportive national infrastructures and cohesion with international developments create environments for action at the institutional level. Critical contributions include development of publication policies, digital archives, e-presses and related data capture and information management services. Illustrations drawn from the Australian environment and ANU experience are included in the presentation.

CV of Presenter



Title: Professor
Name: Stanton
First Name: Robin

Position: Pro Vice-Chancellor

Institution: The Australian National University

Specialization: Information Infrastructures and Services

Background: Robin's background is in engineering, computer science, information systems and IT governance; developed largely through research, education and management roles in higher education. His academic interests have focused on artificial intelligence, high performance systems, information systems, knowledge management and IT governance. Over the past decade he has carried portfolio responsibilities for information infrastructures, enterprise systems, libraries, e-research, e-learning, and digital futures planning. Robin holds a PhD in Computer Science from UNSW and is a Fellow of the Australian Academy of Technological Sciences and Engineering.

Job history: Pro Vice-Chancellor (e-Strategies and Partnerships) – ANU
Pro Vice-Chancellor (Academic) (1998-2001)
Dean, Faculty of Engineering and Information Technology (1993 – 1998)
Dir, Cooperative Research Centre - Advanced Computational Systems (1993-97)
Dir, Centre for Information Science Research (1988-97)
Head, Dept. of Computer Science (1982-93)
Various industry and academic appointments (1960-81)

Abstract of Presentation

Open Access Scientific Publishing – Role and Dilemma of Research Funding Organisations (RFOs)

Dieter Imboden

Scientific publishing is undergoing fundamental changes. Rising publication costs and the ongoing digitalisation process pose several challenges to the traditional publication system. For the scientific community the key question is how to reduce the costs of the dissemination of scientific information without losing quality by the well established process of peer review and text editing. Open Access was invented with the promise to control the financial burden of libraries without loss of quality. However, the transition phase turned out rather to add to the cost, e.g. by double funding of hybrid Open Access publications by subscription and by author-paid fees as well as by the setup of institutional repositories. Ultimately, the goal of the Open Access movements, i.e. the free distribution of quality-assured scientific information at low cost, can only be achieved by a radical change from the present reader-paid to a new author-paid publishing system, i.e. by accepting that the dissemination of scientific data and information is part of the research process. This change would result in a shift of costs from information providers like university libraries to research funders. And where research is funded by outside sources, e.g. by Research Funding Organizations (RFOs), the budgets would have to be adapted accordingly. As a first step and based on the Berlin Declaration of 2003, the European organization of the heads of research councils (EUROHORCs) recommended, in 2008, to its member organizations a minimal standard of Open Access. In autumn 2009, the General Assembly of EUROHORCs decided to install a working group under the lead of the Max-Planck Gesellschaft in order to study the next steps towards a new publishing system as sketched above.

CV of Presenter



Title: Professor
Name: Imboden
First Name: Dieter M.

Position: President of the Research Council

Institution: Swiss National Science Foundation SNF

Background: Dieter Imboden studied theoretical physics in Berlin and Basel and received his doctorate at the ETH Zurich for his studies on theoretical solid-state physics. His interest for the environment, particularly water led him to the Swiss Federal Institute of Aquatic Science and Technology, to the Scripps Institution of Oceanography, California, and further US universities. In 1982 he completed his habilitation requirements in the field of mathematical modeling and environmental physics.

Job history: Dieter Imboden is President of the Research Council of the Swiss National Science Foundation (SNSF) since 2005 and full Professor of Environmental Physics in the Department of Environmental Sciences at the ETH Zurich since 1988.
Since January 2009, Dieter Imboden presides the association of the European heads of research councils (EUROHORCs).

Abstract of Presentation

Open Access – a view from Oxford University Press

Roland Ehrenfels

Oxford Journals, a division of Oxford University Press, has responded proactively to the open access movement, developing a variety of new models and policies, and sharing its experiences. This talk will describe the approach Oxford Journals has taken to open access. The latest findings from the Oxford Open initiative will be shown, including the fully open access flagship journal *Nucleic Acids Research*.

CV of Presenter



Title: Dr.
Name: Ehrenfels
First Name: Roland

Position: Sales and Marketing Director for Oxford Journals

Institution: Oxford University Press

Background: PhD in Physics, University of Heidelberg

Job history: Since May 2008 Roland Ehrenfels is Sales and Marketing Director for Oxford Journals at Oxford University Press. Before, he was Vice President of Sales (Books) at Springer, where he had responsibility for global sales outside the Americas. Prior to this role, he was Managing Director of a database publishing company.

Abstract Workshop A

Open Access to Academic Video & the Opencast Community

The significant increase in lecture recording has fuelled hopes for a global repository of academic video to serve as a teaching knowledge pool for everyone. However, many videos end up behind the password-protected walls of Learning Management Systems or confined to local repositories. The reasons for this are manifold: Legal restriction, institutional policies, individual anxieties about copyright issues, technical inadequateness and insufficient metadata. However, commercial players like Apple (iTunes U) and Google (YouTube EDU) have demonstrated the feasibility of a universal exchange of academic video.

The Opencast Community is a global initiative dedicated to Open Video, that is:

- open software, technology, and formats (to produce and distribute video)
- open and accessible content
- open exchange of content

To attain these goals, 13 institutions from the Opencast Community are collaborating in the Opencast Matterhorn project to build a rich media management system adhering to the principles of Open Video.

With four IARU institutions being part of the Matterhorn consortium and another three affiliated to the Opencast Community, the workshop is to discuss issues around Open Video and to prepare a statement on Open Access to academic video.

Workshop topics

- 1:30 pm CET / 4:30 am PST / 7:30 am EST / 12:30 pm GMT
Welcome
Opencast, the Opencast Community and Opencast Matterhorn
Olaf A. Schulte, ETH Zurich
- 1:50 pm CET / 4:50 am PST / 7:50 am EST / 12:50 pm GMT
Metadata for the exchange of audiovisual objects
Bjoern Hassler (University of Cambridge): Syndication efforts in the UK
- 2:10 pm CET / 5:10 am PST / 8:10 am EST / 1:10 pm GMT
Intellectual Property Rights & lecture recording
Simon Schlauri (<http://creativecommons.org/international/ch/>)
- 2:30 pm CET / 5:30 am PST / 9:00 am EST / 1:30 pm GMT
Discussion
- 3:00 pm CET / 6:00 am PST / 9:00 am EST / 2:00 pm GMT
Coffee break
- 3:30 pm CET / 6:30 am PST / 9:30 am EST / 2:30 pm GMT
Discussion
Policies at IARU members – towards a shared perspective on Open Video
- 3:50 pm CET / 6:50 am PST / 9:50 am EST / 2:50 pm GMT
Peter Robinson (Oxford University): **Open Spires** (<http://openspires.oucs.ox.ac.uk/>)
- 4:10 pm CET / 7:10 am PST / 10:10 am EST / 3:10 pm GMT
Katsusuke Shigeta (University of Tokyo): Learning from **OpenCourseWare** (OCW) – Open Access policies at the University of Tokyo
- 4:30 pm CET / 7:30 am PST / 10:30 am EST / 3:30 pm GMT
Mara Hancock (UC Berkeley): **Open Access and accessibility** issues around webcast.berkeley
- 4:50 pm CET / 7:50 am PST / 10:50 am EST / 3:50 pm GMT
Discussion, preparation for second day

Coordinator

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University of Cambridge, CARET Steeple Project

CV of Presenter



Name: Schulte

First Name: Olaf A.

Position: Head of Production and Distribution, ITS Multimedia Services

Institution: ETH Zurich

Specialization: Audiovisual content

Background: Communication Science

Job history: Research in videoconferencing, University of Essen, 2000-2003
E-Learning support, University of Duisburg-Essen, 2003-2005
NET – Network for Educational Technology, ETH Zurich, 2005-2009
ITS Multimedia Services, ETH Zurich, since 2006

Abstract Workshop B

Open Access Publishing

The main objective of scientific journals has always been the diffusion of research results, on one hand within their own discipline and on the other hand also to a wider interested public. In addition, journals provide a way of public documentation of copyright on research results. However, subscription fees for classical journals are constantly rising, putting libraries under considerable financial strains, and are thus acting as entry barriers to scientific literature. A discussion about alternative ways of publishing has therefore arisen during the past years, which is concomitant with new possibilities enabled by the internet as a medium for content distribution. This discussion led to the idea of Open Access Publishing, which should grant free and facilitated admission to high quality scientific information in the internet, and also provide the means for long term storage of this information. Whilst it won't be possible to make publication absolutely cost-free by these means, the burden of cost will be taken from the subscriber's shoulders. Research should be accessible for researchers but without omitting the peer-review and publication processes. University libraries are currently implementing different models of Open Access and promoting them with researchers of their institution. They are thereby confronted with issues of quality assurance and impact factors as well as technical challenges, which will be discussed in this workshop.

Goal:

- Recommendations on the implementation of a specific model of Open Access in IARU-universities

Workshop topics:

- 1:30 pm: Welcome
- **1st part: State of the art – experiences at IARU-universities**
- 1:45 pm: Policies and experiences at University of Tokyo
- 2:00 pm: Policies and experiences at University of Copenhagen
- 2:15 pm: Policies and experiences at University of Singapore
- 2:30 pm: Policies and experiences at Australian National University
- 2:45 pm: Policies and experiences at Cambridge University
- 3:00 pm: *Coffee break*
- **2nd part: Discussion**
- 3:30 pm: Lessons learnt (discussion)
 - Green or golden road?
 - Involvement of researchers
- 4:00 pm: Fields of action for the future (discussion)
 - Open Access for primary data?
 - How to promote Open Access inside universities?
- 4:30 pm: Outlines for a recommendation (discussion)

Coordinator

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ETH Zurich, Library
Innovation and Marketing

CV of Presenter



Title: Dr.
Name: Mumenthaler
First Name: Rudolf

Position: Head Innovation and Marketing

Institution: ETH Zurich Library

Background: Historian

Job history: 1991-1997: Assistant to the Chair on Eastern European History at the University of Zurich
1997-2008 Head of the Special Collections at ETH-Library;
2009- Head Innovation and Marketing