

IARU Workshop on Open Access Publishing and Opencast

**20–21 January 2010, ETH Zurich,
Switzerland**

Report and Recommendations

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Key findings

Status quo

- The cost reduction goal of Open Access has not been reached yet. Costs are shifted from subscribers to authors and are dictated by the publishers.
- The “Golden Road” model (publishing in Open Access journals) still plays a marginal role.
- The role of Open Access differs considerably for the science and technology field compared to humanities and social sciences.
- The key problem of the “Green Road” (self-archiving and publication in institutional repositories) is motivating academics to make their articles available.
- The extension of the Open Access idea to other academic media, especially lecture recordings, seems promising.
- Despite their commitment to Open Access several IARU member universities do not have a policy yet.

Recommendations

- It is suggested that each IARU partner devises a primary contact person for Open Access issues for liaising with the partner institutions.
- Open Access policies may have to be established at partner universities, where they do not exist yet. IARU partners with established policies can serve for benchmarking and best practices. Certain minimal standards should be agreed on.
- Since the “Green Road” is the chosen model for IARU members, universities should be encouraged and supported in the building of institutional repositories and sharing them with their partners as a sustainable way for Open Access. IARU universities could here learn and profit from each other.
- Authors will have to be convinced of the advantages of Open Access, like higher visibility.
- Universities should aspire to closer collaboration with academic publishers and together develop a model for Open Access publishing.
- The Open Access repositories of universities should be extended to other objects such as open video for the sharing of teaching content and open video should be integrated into the open access policies.

Report and Recommendations: IARU Workshop on Open Access Publishing and Opencast, 21/22 January 2010, ETH Zurich, Switzerland

Following up on a paper on Open Access Publishing presented at the IARU Senior Officers meeting in autumn 2008, the ETH Zurich International Institutional Affairs Office (IIA) and the "ETH-Bibliothek" organized a workshop on the topic in Zurich on 21/22 January 2010. The workshop was attended by 30 participants from 8 IARU member universities as well as 8 guests from Swiss university libraries. The one and a half day event focused on issues in Open Access publishing as well as Opencast, an Open Access Initiative for academic video. A session with 6 input talks from academia, university publishers and a funding agency was followed by a workshop session on each of the two main topics (Open Access and Opencast) and a group discussion with presentations on common issues and problems. The following report summarizes the most relevant issues discussed and presents suggestions for solutions. A recommendation is included at the end to give an indication how the topic should be followed-up at IARU member universities.

Basic issues from talks and discussion:

Open Access Publishing

The basic idea behind the Open Access movement is to lower the costs for the highly expensive and ever rising licenses for academic journals, and to improve the accessibility of scientific literature for researchers with poor access to libraries. So far at least the cost reduction goal has not yet been reached. Until now, it has not been possible for libraries to cancel even a single subscription.

It is a widespread opinion that scientists are fairly happy with the current publishing model. The peer review process for quality control is highly valued in particular. Despite Open Access journals also offering the peer review procedure, it is perceived as an advantage only offered by commercial journals.

The 'Golden Road' Open Access Model (publication in an Open Access journal) still creates substantial costs for universities, and it so far plays only a marginal role in IARU member institutions. Authors have to pay US\$ 2000-3000 for each article they publish. This contribution cost per article can be decreased with membership of the respective organizations (e.g. Public Library of Science). In certain scientific areas Open Access journals have established themselves and reached high impact factors (e.g. *PLoS Pathogen* in the life sciences).

However, there is a considerable difference between the Science, Technology, and Medicine field (STM) and the social sciences and humanities, where Open Access is not playing a substantial role yet. Even more, Open Access provides no solution for books, which are a main mean of publication and source of income for the social sciences and humanities.

Commercial publishers now use the so-called Hybrid model to offer a possibility for making single articles openly available against a fee paid by the author (Cost: US\$ 2000-3000). This leads to double costs for the universities, since the subscription to the journals still has to be continued. The calculation of price reductions based upon authors' contributions for the respective university is uncommon and would mean a substantial effort.

The publishers currently fix the author fees amount. Since the production costs differ greatly between the journals publishers usually calculate an average fee, which will cover their costs in any case. Should the subscriptions to the classical journals decline due to the Open Access competition, the author contributions for compensation may rise quickly. Publishers currently have the power to raise prices within any publication model.

There will be no cost saving in transferring payment of author contributions from the universities (and their libraries) to funding agencies. There is also some doubt on whether these

agencies would be willing to increase research grants with the 2–3% needed for the coverage of publication fees.

The main problem with the 'Green Road' model (self-archiving and publication in institutional repositories) is motivating academics to make their articles available in their institution's repository in addition to publication in a subscription journal. The issue of quality control was also raised and peer review remains of great importance in both the Golden and Green Road models.

All IARU members present at the workshop are currently committed to Open Access in principle, however, not all of them have a policy yet. There seems to be still some need to convince university boards and obtain their full support.

For the current status of IARU Universities' Open Access policies see Appendix 2.

Opencast

So far, the Open Access movement has been strongly supported by the libraries and concentrated on the publication of scientific articles. The Berlin Declaration in contrast, mentions other objects (multimedia material, research data), however, these are rarely integrated into the policies of universities. The extension of the Open Access idea to other academic media, especially lecture recordings, seems promising. With podcasts or streaming videos institutions can reach out to a totally new target groups in disseminating their video content according to the Open Access paradigm. Several IARU partners are already exploiting these opportunities as members of the Opencast Community. Its goal is to collaborate towards open alternatives to commercial platforms like iTunesU (<http://www.apple.com/education/itunes-u>) or YouTube EDU (<http://www.youtube.com/education>) - fully aligned with the Open Access idea.

Suggestions for solutions:

Open Access Publishing

During the workshop the problems of motivating authors for Open Access were discussed. The group saw an urgent need for action in this area but also limited chances for success. Authors will have to be convinced of the advantages of Open Access, including most of all the increased visibility of their articles.

The main advantages are:

Global Accessibility: Institutional repositories are globally accessible and searchable due to their open standards and interfaces. For example, on average the articles in the ETH E-Collection repository (<http://e-collection.ethbib.ethz.ch/>) were accessed 1.2 million times annually in the last years.

Storage: The repositories also offer secure long-term storage of publications. The storage burden is thus taken off the academics by a service of the institution.

The combination of a repository with the official database of the publication output of a university (used for example in annual reports) is very attractive and creates added value for scientists. However the submission of articles to an electronic repository has to be as simple and efficient as possible for the academics.

The workshop also discussed the cooperation of different players in the market. In particular academic publishers, which were present with several representatives of university presses, could be useful partners of universities in the Open Access publication of journals and also e-books. Closer collaboration with university presses thus appeared as a common goal of the IARU partners present at the workshop, and the development of a joint model for Open Access is a priority. It was generally believed that academic publishers could lead the way to a successful implementation of Open Access.

Opencast

While copyright issues arise in this domain also, the Creative Commons license (<http://creativecommons.org/>) offers a framework to solve most of these. Here, the Opencast idea can benefit from experience the Open Access movement has, e.g. from managing image repositories.

Accordingly, the Open Access policies of universities should be extended explicitly to academic video. In addition, teaching material and raw research data in the sciences should be made available in accordance with the Open Access idea.

Recommendations and next steps:

Open Access Publishing

1. It is suggested that each IARU partner devises a primary contact person for Open Access issues for liaising with the partner institutions. Contact persons from institutions with well established Open Access policies and practices may also serve as consultants for their colleagues from institutions, where further development is needed.
2. The “Green Road” is currently the chosen Open Access model for most IARU partners, thus efforts should be made to improve and expand this model wherever possible. The IARU network and institutional learning can be used to exchange experiences and best practices for establishing e-repositories where they don’t exist yet and improve the already established ones. It is important that the academics, who are expected to use the repository are included in the development process right from the start to increase their motivation. However, it will have to be understood that there are considerable differences between natural scientists and scientist of the humanities with regard to publication and distinctions have to be made between scientific articles and books or monographies.
3. Open Access policies may have to be established at the universities, where they do not exist yet. Again, IARU partners with established policies can serve for benchmarking and best practices. IARU members should agree on certain minimum Open Access standards like already done by e.g. EUROHORCS.
4. The exchange between IARU member universities and their associated academic publishers has to be strengthened. University presses should develop a sustainable Open Access model that can serve for future orientation. A lack of models was especially observed in the area of social sciences and humanities. In turn, academic publishers should be given preference over large commercial publishers with respect to Open Access wherever possible. A strong alliance over this issue could substantially increase the bargaining power over commercial publishers with respect to negotiation on publication prices for the “Golden Road”.

Opencast

1. There is a strong agreement among IARU universities with respect to Opencast being a valuable addition to the Open Access idea. It is therefore desirable that IARU universities sign a declaration committing themselves to the open publication of academic video; a draft of such a declaration was edited during the workshop and can be found in Appendix 1.
2. Academic video should thus become part of existing Open Access policies and integrated into new ones from the start. Video will also have to be integrated in the electronic repositories of the universities to be freely accessible.

Appendix 1:

Declaration on Open Academic Video

“Academic video, whether from lectures, conferences or research workshops, is particularly immediate: through use of emerging easy-to-use technologies, it can be produced and distributed rapidly, at large scales and affordable cost. The sharing of academic video in accordance with the spirit of the Berlin Declaration on Open Access therefore has the potential to enable unprecedented access to teaching and research resources.

This matches the goals we hold as institutions to create, disseminate, and preserve knowledge for the academic community and society – irrespective of economic means and technological infrastructure. Open academic video therefore provides institutions with an efficient means to work towards their mission.

We therefore believe it is imperative that academic video is being dealt with in the spirit of the Berlin Declaration, thus reiterating its relevance to the free exchange of knowledge.”

Appendix 2:

Open Access policies at IARU Universities

University	Policy Status
University of Tokyo (UT)	The University of Tokyo has not established an Open Access Policy yet, but a number of departments encourage doctoral students to deposit their electronic theses in the UT Repository.
Australian National University (ANU)	ANU is about to implement an Intellectual Property Policy which mentions Open Access, and in the process of developing a Code of Conduct, which will address procedures and functionality of ANU's repository and Open Access in general.
University of Copenhagen	The University of Copenhagen has not yet adopted an OA policy, but is expected to do so when, later this year, the Ministry of Science, Technology, and Innovation has published its recommendations for the implementations of OA in Denmark
ETH Zurich	<p>ETH Zurich signed the Berlin Declaration and in July 2008 the Executive Board of ETH Zurich adopted their Open Access policy, in which they ask all academics to become actively involved in implementing it. The Open Access policy is published at ROARMAP (Registry of Open Access Repository Material Archiving Policies): the registry of Open Access policies from individual organizations.</p> <p>The text of the policy states:</p> <p>ETH Zurich requires of staff and postgraduate students to post electronic copies of any research papers that have been accepted for publication in a peer-reviewed journal (post-prints), theses and other scientific research output (monographs, reports, proceedings, videos etc.), to be made freely available as soon as possible into the institutional repository "ETH E-Collection", if there are no legal objections. The ETH Zürich expects authors where possible, to retain their copyright. For detailed information see the rules of the ETH E-Collection.</p> <p>ETH encourages their researchers to publish in a suitable Open Access Journal where one exists; the ETH Zürich will cover the publication costs, if any.</p> <p>The ETH library is the contact for all questions regarding Open Access</p>
University of Cambridge	The University of Cambridge maintains an institutional repository called DSpace@Cambridge . University staff are encouraged to use this resource both to meet the specific requirements of funding bodies and to deposit any other research material that staff choose to make available through open access.

National University of Singapore (NUS)	<p>NUS does not have an OA policy yet, but is working on an institutional repository:</p> <p>ScholarBank@NUS is the institutional repository of National University of Singapore. It seeks to harness the intellectual capital of NUS, transform the present and influence the future. This repository collects and preserves the scholarly output of NUS and makes it accessible worldwide .</p> <p>ScholarBank@NUS is a joint initiative between NUS Libraries and Computer Centre.</p>
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No information on Open Access policies was received from the University of Oxford, UC Berkeley, Yale and Beijing University.