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Stimulating  
Open Access Book Publishing

Expert Workshop  
“Copyright and Open Access book publishing”

organized by

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Content

- What should be the point of departure of funding agencies with respect to open access: the Berlin Declaration?
- What type of open access should funding agencies actively encourage: the golden road or the green road?
- What type of mandate should the funding agency put on authors and universities?
- Should funding agencies have a say on the pricing structure of open access publishers?
- Is there a role for funding agencies to improve the quality ranking of open access publishers?
Open Access book publishing

- What problems are to be solved? / What goals are to be achieved?
- What constitutes a book?
- Differences between books and journal articles
  - No subscription charges for books
  - Demand for print versions of books is potentially higher compared to journal articles: source of revenue
  - Book publications are more individualized projects than article publications. This may raise special issues in relation to Open Access. Identification of cost for Open Access.
- Many questions relating to open access publishing are not particular to article or book publishing.
What should be the point of departure of funding agencies with respect to open access: the Berlin Declaration?
Berlin Declaration: Policy formulation

- Organizational commitment to Open Access should be communicated internally and externally.
- Signing the Berlin Declaration can be one step in this respect.
- The Berlin Declaration continues to attract signatories.
- The annual Berlin Conferences can boost the Open Access policy in the countries or at the institutions where it is taking place.
Berlin Declaration:
Growth of number of signatories
Berlin Conference: Distribution of signatories

Cross-national Research Association/Union/Umbrella Organization
Cultural Institution/Museum/Archive
Service/Infrastructural Institution
Governmental Institution/Council
Funding Agency
Private Organization/NGO
Library/Library Association/Information science organization
Research Institute/Research Organization/National Research Institute
University/College/Academy/Higher Education

Christoph Bruch - 15.02.2010
Policy formulation

- The basic commitment needs to be followed-up by a policy spelling out how Open Access is to be supported.
  - Open Access “appointee”
  - Institutional repository
  - Funds to cover publication charges
  - Mandate/request
  - Support for external Open access services (e.g. subject repositories, DOAJ, SHERPA/Romeo)
What type of Open Access should funding agencies actively encourage: the golden road or the green road?
Green / Gold: Preference?

- The two variants are not contradictory.
- The individual needs of funders may lead to different preferences.
Green Road: Legal challenges

- Is the green road really workable?
- Are the copyright policies advertized on publishers websites of any legal relevance?
- Necessity of individual checking of copyright transfer agreements
- Necessity to get consent of co-authors for secondary publication
- Problem of included works of third parties, e.g. illustrations
- Need for a contract between author and repository
- Limitations on user’s rights
Green Road: Open Access infrastructure

- Single repository
  - Easy submission
  - Meta data enhancement
  - Capability to deal with documents versions and updates
- Services to the authors
  - Links to websites
  - Statistics
  - Alerts
  - Transfer to other repositories
  - Use of repository as a means to ease burden for the fulfillment of reporting obligations
- Reporting services to funders
- Consolidation of repository landscape

- Publication of manuscript is treated differently in the various fields of research.
Golden Road: Implications

- A demand for genuine open access publishing is linked to the provision of funds for publication charges.

- The golden road needs an infrastructure no less than the green road:
  - Germany national hosting structure

- Beware of paying for what may become “digital trash”.
Golden Road: Legal questions

- Organizations need to decide what of flavors Open Access are worth paying for.

- There is a need for standardized legal definitions of different flavors of Open Access.
  - How open does Open Access need to be?
  - What minimal rights have to be granted to the user?
  - CC licenses will not be universally acceptable and can be quite restrictive too.
  - Rights of third parties (e.g. illustrators) need to be accommodated.
  - Combinations of works in the cause of reuse will lead to the spread of restrictions.
  - The spread of different licenses complicates collection management.

- Should the research organization seek to secure usage rights for themselves?

- Does the publisher need to retain any rights?
MPS OA Policy: Golden Road

Number of MPDL sponsored OA Gold Articles

- BioMed Central
- New Journal of Physics
- PLoS
- Copernicus
- Springer

2005 2006 2007 2008
MPS OA Policy: Golden Road

![Bar chart showing percentage of MPS Article Output from 2005 to 2008.]

- 2005: 0.0%
- 2006: 1.0%
- 2007: 2.0%
- 2008: 7.0%

Percentage of MPS Article Output
What type of mandate should the funding agency put on authors and universities?
Mandates

- The primary goal is quality not accessibility.
- Funders will refrain from everything that is perceived as compromising quality of putting off top researchers.
Mandates

- Open Access should rely on carrots rather than sticks.

- Research organizations could consider changing their work contracts.
Mandates

- Open Access should be about empowerment
  - Help authors retain more rights

- Open Access needs organizational support
  - Budget for publication charges (easy application)
  - Help desk
  - Repositories -> easy submission

- Open Access should not
  - Compromise quality
  - Hamper careers

- Limiting the author’s choice to genuine/hybrid Open Access journals can pose a problem for the author if the prestigious journals of his subject field do not offer an open access option.

- In principle this is also true for book publishing, e.g. (Publishers, series)

- Mandates are usually legally vague.
Mandates/Policies: Figures

83 Institutional

18 Departmental

42 Funder

59 Thesis

202 Total Mandates

(ROAR 10.02.2010)
Funder Mandates/Policies: Subject Field & International Dissemination

- United Kingdom
- Canada
- United States
- Ireland
- Europe
- Australia
- Austria
- Belgium
- Belgium
- France
- Hungary
- Norway
- Sweden
- Switzerland
- Life Sciences
- Regional
- Other
Funder Mandates/Policies: Types

- Request
- Mandate + Embargo ?
- Mandate + Embargo asap
- Mandate + Embargo 12 months
- Mandate + Embargo 6-12 months
- Mandate + Embargo 6 months
- Mandate + Embargo 0 months
Should funding agencies have a say on the pricing structure of open access publishers?
Pricing structure - Funder influence

- What are open access costs?
  - Differentiation between basic and “advanced” publication costs.
- A functioning market limits the ability to raise prices.
- At least some funders ask for detailed statements of costs.
- Cost control could possibly be stimulated by closing agreements for certain standard forms of publication.
Pricing structure - Funder influence

- Differentiation between partial payment for open access and other production costs.

<table>
<thead>
<tr>
<th>Beantragter Zuschuss (Requested grant)</th>
<th>EUR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Werkvertrag für Übersetzungskosten bzw. Fremdsprachenlektorat (von der Antragstellerin/von Antragsteller)</td>
<td></td>
</tr>
<tr>
<td>(Service contract for translation charges and/or editing of foreign language – on request by the applicant)</td>
<td></td>
</tr>
<tr>
<td>☐ Übersetzungskosten (Sprache angeben): (Translation charges – specify language)</td>
<td>EUR</td>
</tr>
<tr>
<td>☐ Fremdsprachenlektorat (Sprache angeben): (Editing of foreign language – specify language)</td>
<td>EUR</td>
</tr>
<tr>
<td>Produktionskosten (vom Verlag mittels Verlagskalkulation zu beantragen) (Production costs – to be submitted by the publisher as quotation)</td>
<td></td>
</tr>
<tr>
<td>☐ Zuschuss zu Herstellungskosten in Höhe von (Grant amount for production costs)</td>
<td>EUR</td>
</tr>
<tr>
<td>☐ Open Access-Zuschuss in Höhe von (Open access grant amount)</td>
<td>EUR</td>
</tr>
</tbody>
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Is there a role for funding agencies to improve the quality ranking of open access publishers?

- Funding agencies can help open access publishers by
  - Encouraging authors to publish open access
  - Providing funds to pay for publication charges

- The reign of the impact factor is challenged
  - Alternative indicators
  - Article level indication

- The Austrian Science Fund (FWF) is providing a peer review service for open access book publications.
Quality management: Austrian Science Fund

- Special fund for „stand-alone Publications“
- Peer review provided by the Austrian Science Fund
- No detailed/legal definition of Open Access
- No detailed policy for long term use
- Machine readability of content

Stimulating Open Access Book Publishing

**Funders should**
- Provide publication funds
- Identify and advertize more clearly the implicit existing options of funding Open Access book publishing
- Recognize Open Access costs as factor of the total publication costs
- aim for broad licenses, e.g. CC-BY
- Cooperate in the built-up in an Open Access infrastructure

**Open Access publishers should**
- demonstrate business cases which work without exclusive copyright transfer
- put a lot of attention on using “the right” licenses
- develop transparent offers
  - Cost structure
  - Quality management (peer review, series)
- consider joint development of standardized offers
  - OAPEN
  - OASPA is setting-up of an OA-book-publishers group.
- Detail costs in order to ease involvement several funders in complex publishing projects.
Thank you very much for your attention!

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Sources

- **Images**
- Frog: [http://www.sxc.hu/photo/1184945](http://www.sxc.hu/photo/1184945)
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