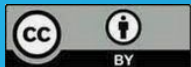


# Open Access Publishing

Milica Ševkušić, EIFL

EIFL Open Science Bootcamp



# Outline

- Concepts of training on Open Access publishing
- Intellectual property rights (copyright, self-archiving, rights retention)
- Diversity of Open Access publishing models
  - Gold Open Access
  - Hybrid Open Access
  - Diamond Open Access
- What about books?
- Emerging areas
  - Open peer review
  - Preprints and innovative publishing platforms
  - Bibliodiversity

# Training challenges

- Complexity of IPR issues
- Poor understanding of IPR
- Complexity of OA business models (many “colours”)
- Terminology (preprint, postprint, preproof, AAM, VoR, etc.)
- Confusing and misleading guidance to authors (provided by publishers)
- Misconceptions
- Reliance on peer advice
- Reconciling OA and promotion criteria

# Training topics: usual concept

mitigate

SELF-ARCHIVING  
or  
Green Open Access

- Publication versions (VoR, AAM, postprint, preprint)
- Self-archiving policies & Sherpa/Romeo
- Licences and copyright + embargo
- Repositories
- **Misconceptions**
- Funder requirements
- Rights retention

PUBLISHERS  
OWN  
COPYRIGHT

avoid

PUBLISH IN  
OPEN ACCESS  
Gold OA  
Hybrid OA  
Diamond OA

- Publishing fees (APC/BPC)
- Waivers and discounts
- Double dipping
- Disputable (“predatory”) journals
- Think. Check. Submit
- Journal Checker Tool
- **Misconceptions about OA publishing**
- No-fee OA publishing options
- Copyright and licences
- Funder requirements
- Plan S (Europe)

avoid

ORE

PREPRINTS

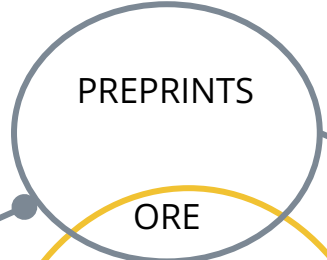
- The future of scholarly publishing
- Open peer review
- Open science as a context
- Bibliodiversity
- Research evaluation

OPEN ACCESS POLICIES  
Research outputs must be  
publicly available

- Rights retention
- Misconceptions about IPR
- Funder requirements
- Plan S (Europe)
- Licences
- Self-archiving policies & Sherpa/Romeo & no embargo
- Journal Checker Tool

## Training topics: focus on copyright

- The future of scholarly publishing
- Open peer review
- Open science as a context
- Biodiversity



PUBLISH IN OPEN ACCESS  
Gold OA  
Hybrid OA  
Diamond OA

- Publishing fees (APC/BPC)
- Waivers and discounts
- Double dipping
- Disputable ("predatory") journals
- No-fee OA publishing options



AUTHORS OWN COPYRIGHT



PUBLISHERS OWN COPYRIGHT  
due to copyright transfer



SELF-ARCHIVING  
or  
Green Open Access

- Publication versions (VoR, AAM, postprint, preprint)
- Repositories
- Self-archiving policies & Sherpa/Romeo
- Licences & copyright



OPEN ACCESS POLICIES  
Research outputs must be publicly available

# Intellectual property rights

# Who owns copyright?

- According to the IPR legislation, the intellectual property belongs to the author, who is 'the first owner of copyright'.
- In case copyrighted materials are created by employees as part of their employment duties (work for hire), there is usually an agreement between the employee and the employer and in most cases copyright belongs to the employer.

**Researchers = authors**

**Researchers' institutions = employers**

**Publishers ≠ (researchers') employers**

- Publishers own copyright only if authors sign off their rights (by signing the copyright transfer agreement).

# Copyright transfer agreement

## About the IEEE Copyright Form

Before your accepted article can be published, you'll need to complete a Copyright Form.

Before your accepted article is published by IEEE, you will be asked to complete a publishing agreement. The IEEE Copyright Form is required for all publications that are not open access except for material in the public domain. Signing the IEEE Copyright Form transfers ownership of the article to IEEE.

The Electronic IEEE Copyright Form (eCF) makes signing a publishing agreement easy by determining which agreement meets your needs and enabling you to complete it on-screen.

### Government employees

Articles written by government employees may require a different copyright form. The eCF will determine the appropriate form to match your circumstances. When an article's authors are a mix of government and non-government employees, one of the non-government employees should sign the copyright form.

- The author transfers the monetary rights.
- Authors are often required by publishers to transfer copyright (sometimes even by OA publishers).
- Due to this they can't make the published version of the publication publicly available.
- They often have to ask permission from publishers to reuse their own publications (or their parts).



## The author who has retained copyright can:

- reuse the publication
- translate it
- distributed under a licence of their choice

## Rights retention

Even in case of copyright transfer, the author can retain some rights.

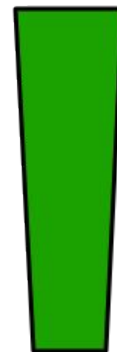
# Creative Commons licences

CREATIVE COMMONS LICENSES		COPY & PUBLISH	ATTRIBUTION REQUIRED	COMMERCIAL USE	MODIFY & ADAPT	CHANGE LICENSE
	PUBLIC DOMAIN	✓	✗	✓	✓	✓
	CC BY	✓	✓	✓	✓	✓
	CC BY-SA	✓	✓	✓	✓	✗
	CC BY-ND	✓	✓	✓	✗	✓
	CC BY-NC	✓	✓	✗	✓	✓
	CC BY-NC-SA	✓	✓	✗	✓	✗
	CC BY-NC-ND	✓	✓	✗	✗	✓

	You can redistribute (copy, publish, display, communicate, etc.)
	You have to attribute the original work
	You can use the work commercially
	You can modify and adapt the original work
	You can choose license type for your adaptations of the work.

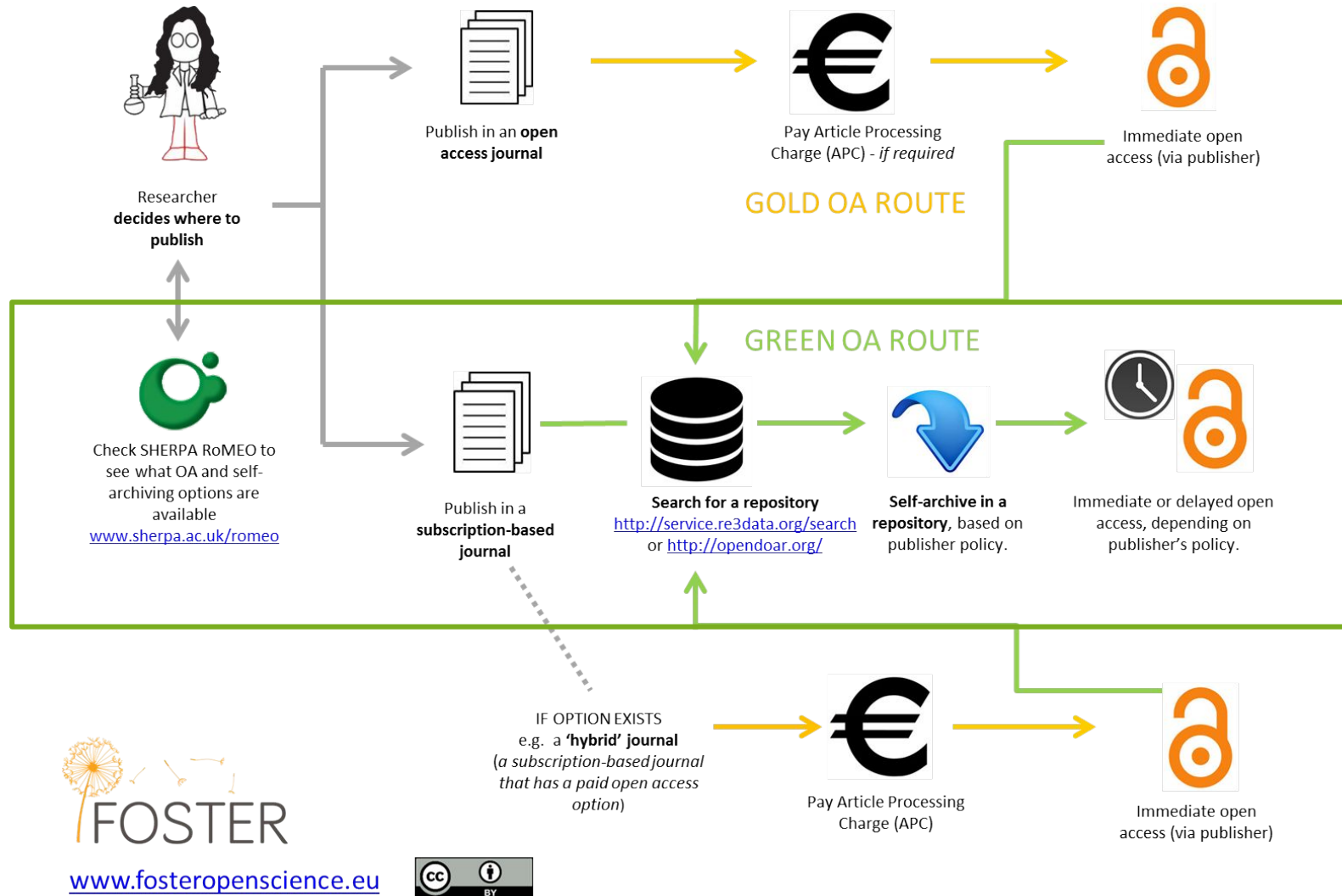
MOST OPEN



LEAST OPEN

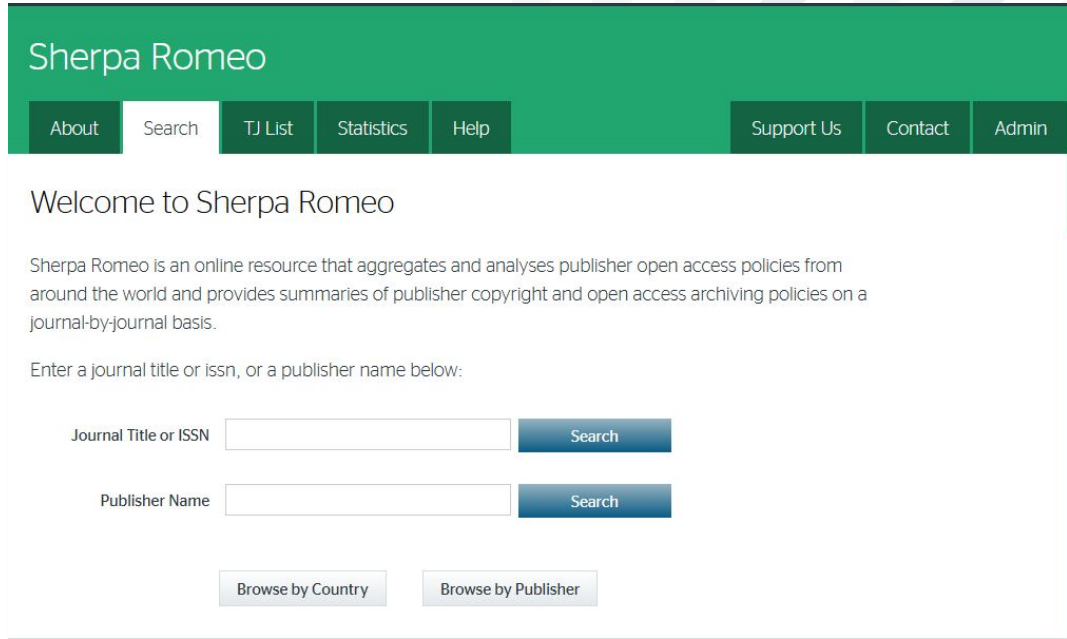
# Self-archiving and rights retention

# Green Open Access



# Legal basis for self-archiving

- Even if the author has transferred copyright to a publisher, the ownership of a manuscript  $\neq$  the ownership of copyright.
- Journal policies and copyright transfer agreements usually make provisions for self-archiving.
- Sherpa Romeo: a searchable database of self-archiving policies.
- Check journal websites, too.
- Self-archiving for books is still a vague area



The screenshot shows the Sherpa Romeo website. At the top is a green navigation bar with the site name 'Sherpa Romeo' and several menu items: 'About', 'Search', 'TJ List', 'Statistics', 'Help', 'Support Us', 'Contact', and 'Admin'. Below the navigation bar, the main content area has a white background. It starts with a 'Welcome to Sherpa Romeo' heading, followed by a paragraph explaining that the site aggregates and analyzes publisher open access policies. Below this is a search prompt: 'Enter a journal title or issn, or a publisher name below:'. There are two search input fields: one for 'Journal Title or ISSN' and one for 'Publisher Name', each with a blue 'Search' button. At the bottom of the search section, there are two buttons: 'Browse by Country' and 'Browse by Publisher'.

<https://v2.sherpa.ac.uk>

# Rights retention: example

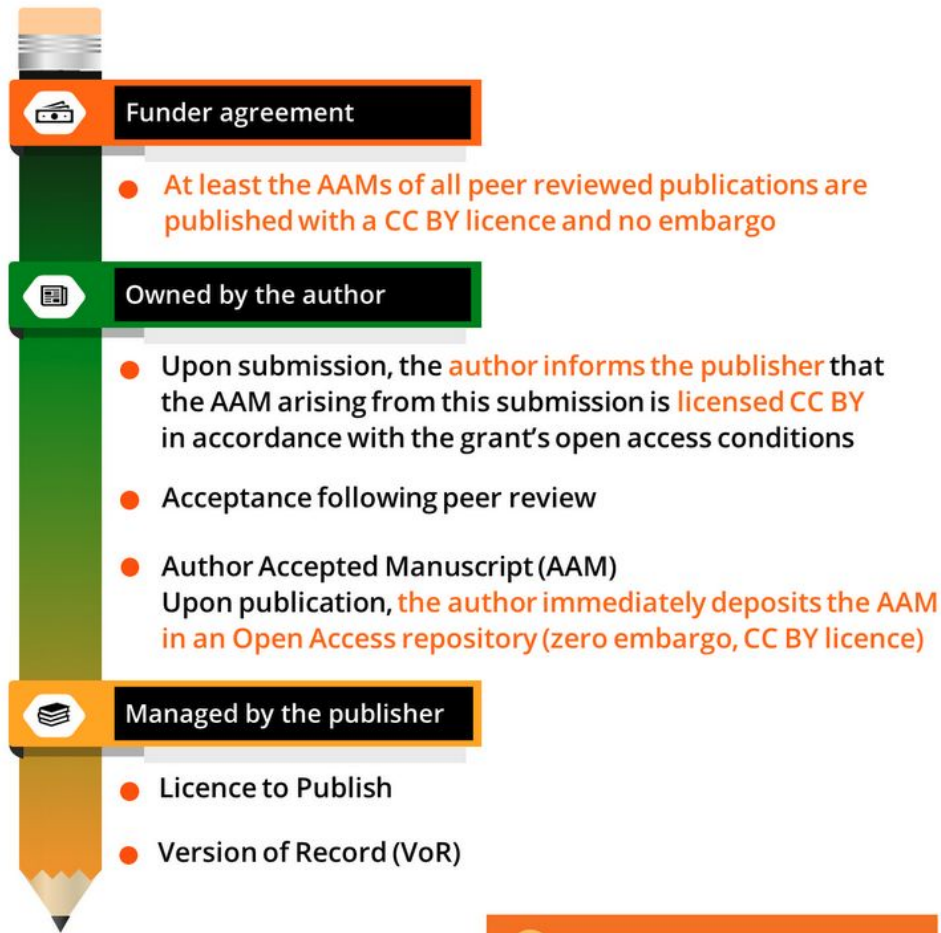
## cOAlition S Rights Retention Strategy

Authors who publish in subscription-based journals should retain SUFFICIENT rights to be able to immediately (no embargo) self-archive at least AAM under the CC BY licence.

Exemption clause in the publishing agreement:

“[Insert publisher name] acknowledges that, notwithstanding any other terms or conditions in this agreement: Author Accepted Manuscript versions, which arise from submissions based on results from research funded fully or partially by cOAlition S Organisations, can be made freely available at the time of publication through any Open Access repository of the author’s choice;  
the Author Accepted Manuscript can be shared under a CC BY or equivalent licence; CC BY-ND upon agreement by the cOAlition S Organisation).”

<https://www.coalition-s.org/wp-content/uploads/2020/10/RightsRetentionGraphic.png>, CC BY 4.0



Plan S

Making full and immediate Open Access a reality

# Resources

- Templates prepared by cOAlition S to make communication with publishers easier for authors: <https://www.coalition-s.org/resources/rights-retention-strategy/>
- cOAlition S resources, part of the online campaign “Publish with Power: Protect your rights”: <https://www.coalition-s.org/resources/rights-retention-strategy/>
- [Journal Checker Tool](#) to check the compliance of journal policies with Plan S.
- Fighting publishers’ ‘smoke and mirrors’:  
<https://www.coalition-s.org/the-rrs-and-publisher-equivocation-an-open-letter-to-researchers/>

# Diversity of Open Access publishing models



# The colours of Open Access

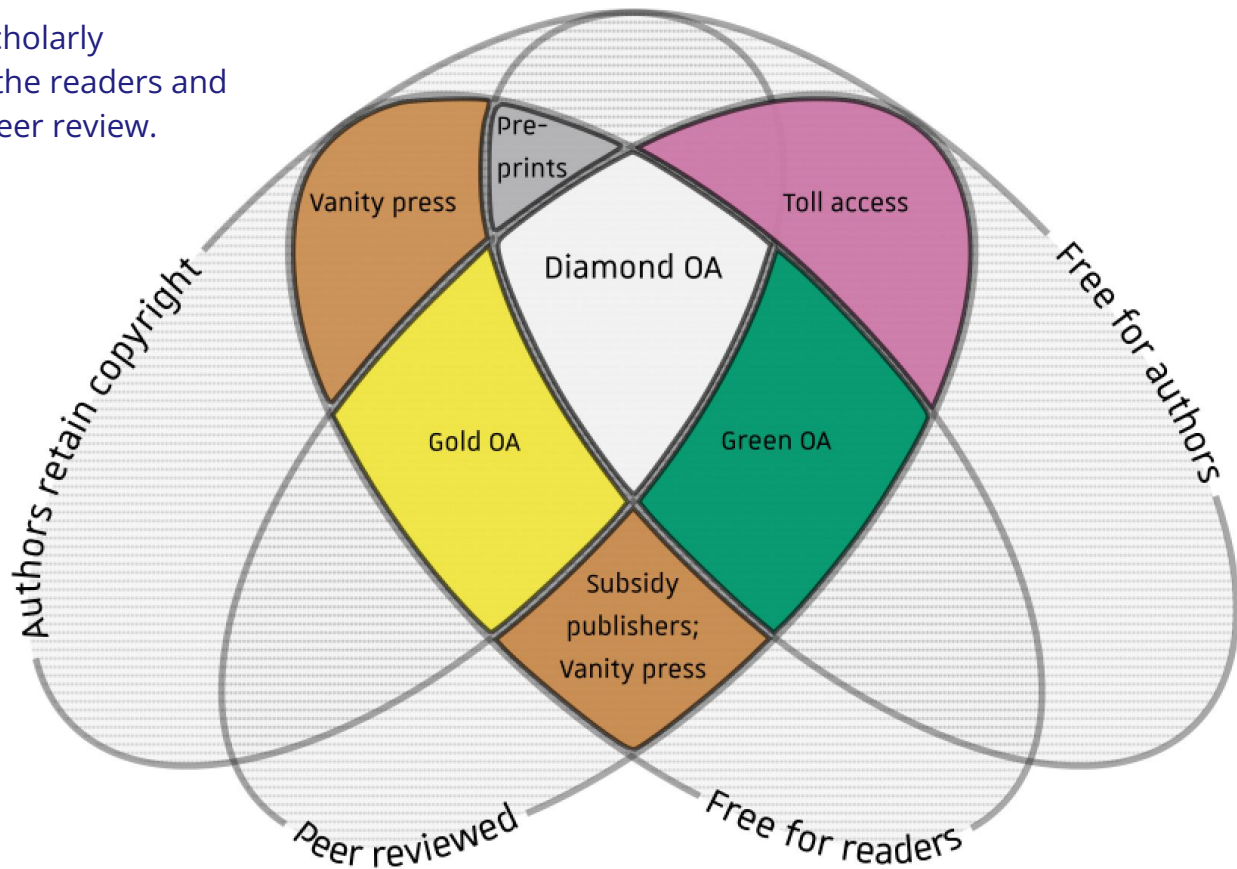
Symbol	Name	Characteristics	Who pays what?
	GOLD	<ul style="list-style-type: none"> <li>• Publishing in OA journals</li> <li>• Licence (most commonly Creative Commons)</li> </ul>	<ul style="list-style-type: none"> <li>• No cost for readers.</li> <li>• Authors or their institutions pay a fee (APC)</li> <li>• The cost of maintaining infrastructure is borne by publishers.</li> </ul>
	GREEN	<ul style="list-style-type: none"> <li>• Self-archiving</li> <li>• Licence (most commonly Creative Commons)</li> </ul>	<ul style="list-style-type: none"> <li>• No cost for readers.</li> <li>• The cost of maintaining infrastructure is borne by repository owners.</li> <li>• No cost for publishers.</li> </ul>
N/A	DIAMOND / PLATINUM	<ul style="list-style-type: none"> <li>• Publishing in OA journals</li> <li>• Licence (most commonly Creative Commons)</li> <li>• Also referred to as APC-free OA, no-fee OA, publisher-pays model</li> </ul>	<ul style="list-style-type: none"> <li>• No cost for readers.</li> <li>• <b>No cost for authors and their institution.</b></li> <li>• The cost of maintaining infrastructure is borne by publishers (and/or their sponsors).</li> </ul>
	BRONZE	<ul style="list-style-type: none"> <li>• Free to read</li> <li>• All rights reserved, implied or explicit</li> <li>• Not really OA</li> </ul>	<ul style="list-style-type: none"> <li>• No cost for readers.</li> <li>• In most cases, no cost for authors and their institutions.</li> <li>• The cost of maintaining infrastructure is borne by publishers (and/or their sponsors).</li> </ul>
N/A	HYBRID	<ul style="list-style-type: none"> <li>• Publishing in subscription-based journals with an Open Access option</li> <li>• Licence (most commonly Creative Commons)</li> </ul>	<ul style="list-style-type: none"> <li>• No cost for readers for OA articles, but no discount for the non-OA content.</li> <li>• Authors or their institutions pay a fee (APC)</li> <li>• The cost of maintaining infrastructure is borne by publishers.</li> </ul>
	BLACK	<ul style="list-style-type: none"> <li>• Illegal piracy websites</li> <li>• Copyright violation by posting copyrighted content on social media (ResearchGate, Academia.edu, etc.)</li> <li>• Not really OA</li> </ul>	<ul style="list-style-type: none"> <li>• No cost for readers.</li> <li>• No cost for authors and their institution.</li> <li>• Publishers bear the cost of infrastructure and legal proceedings against copyright infringement.</li> <li>• Platforms offering copyrighted content illegally bear the cost of the underlying infrastructure and legal proceedings against copyright infringement.</li> </ul>

Different levels of open access in scholarly publishing, as a function of cost to the readers and authors, copyright retention, and peer review.

Further reading:

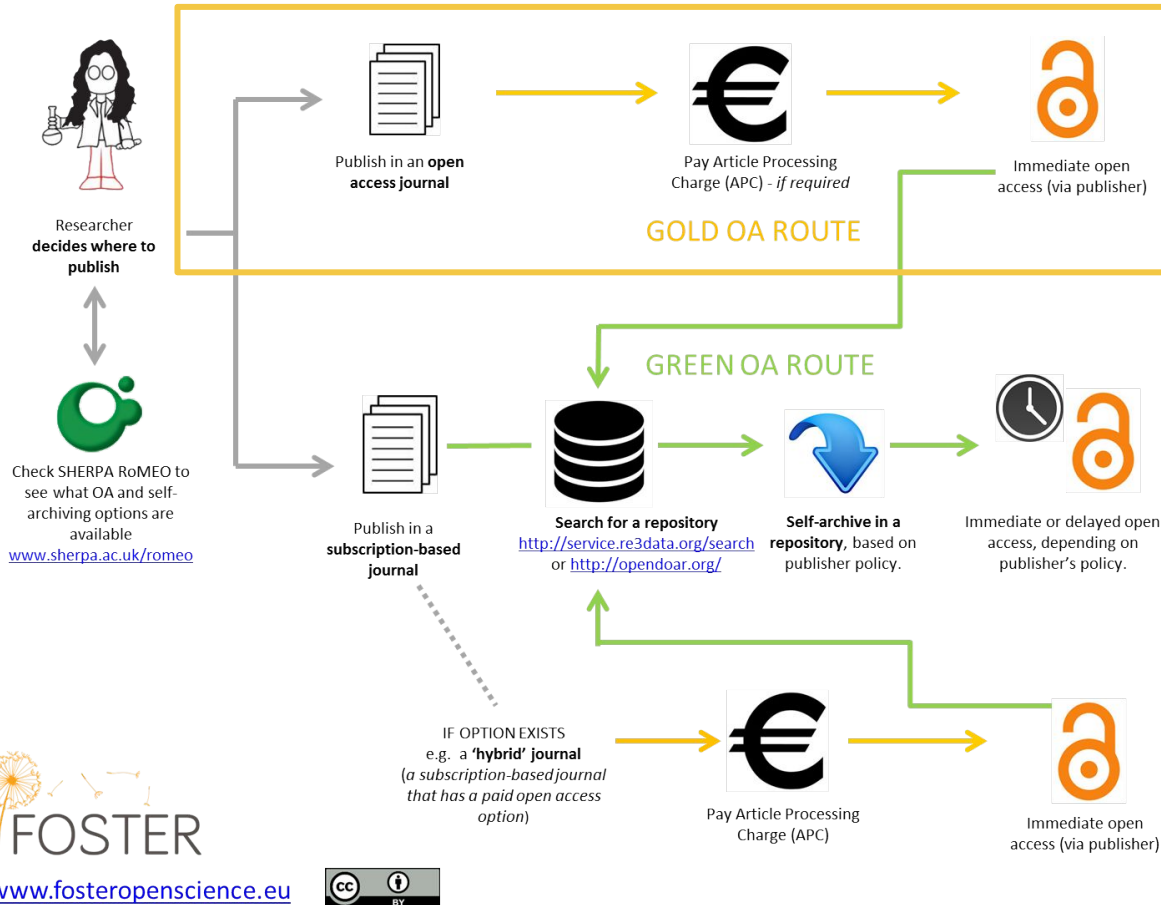
Martín-Martín, Alberto, Rodrigo Costas, Thed N. van Leeuwen, and Emilio Delgado López-Cózar. 2018. 'Unbundling Open Access Dimensions: A Conceptual Discussion to Reduce Terminology Inconsistencies'. <https://doi.org/10.17605/OSF.IO/7B4AJ>

Tay, Aaron. 2021. 'Why Open Access Definitions Are Confusing'. 5 April 2021. <http://musingsaboutlibrarianship.blogspot.com/2021/04/why-open-access-definitions-are.html>.



Source: Farquharson, Jamie (2018): Diamond open access venn. figshare. <https://doi.org/10.6084/m9.figshare.6900566.v1> [CC BY 4.0](https://creativecommons.org/licenses/by/4.0/)

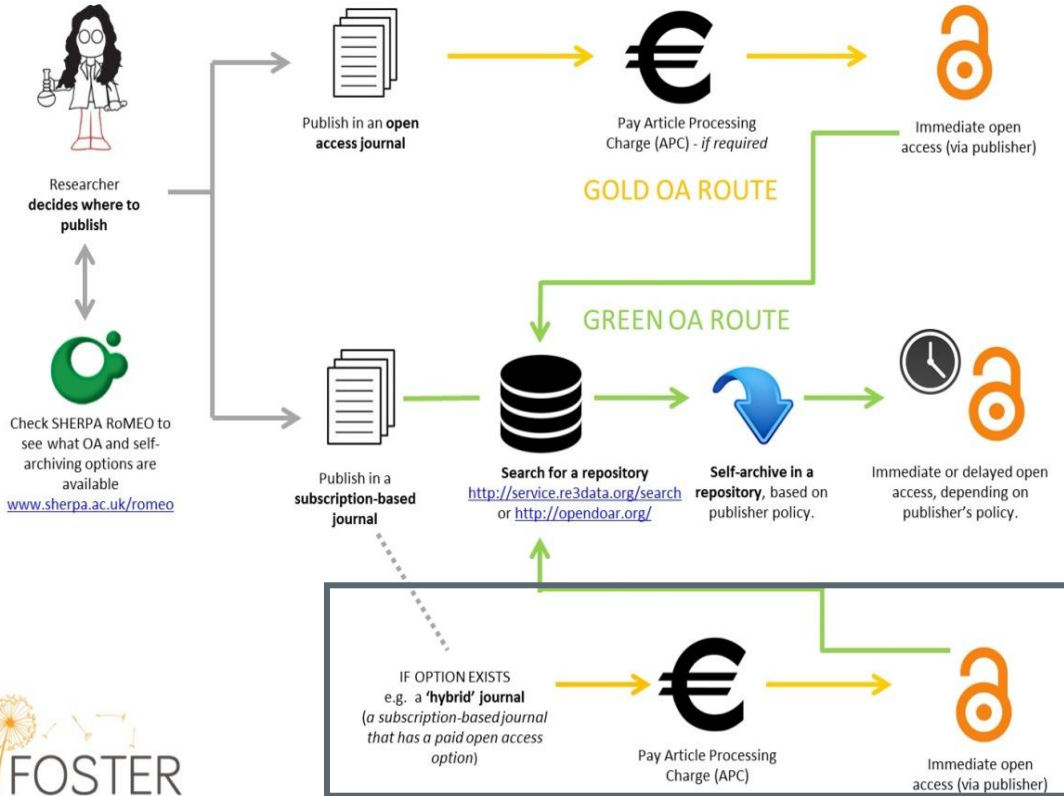
# Gold Open Access



## Explain

- Publishing fees (APC)
- Waivers and discounts
- Deceptive publishers and disputable (“predatory”) journals
- Finding a “safe” journal (e.g. Think. Check. Submit)
- Checking compliance with funder requirements (e.g. [Journal Checker Tool](#))
- Copyright and licences
- Misconceptions about the quality of peer review

# Hybrid Open Access



Why hybrid journals do not lead to full and immediate Open Access (cOAlition S)

- Hybrid has not facilitated a transition to Open Access (OA)
- The research community pays twice (double dipping)
- Hybrid journals are more expensive than fully OA journals
- Hybrid journals provide a poor quality of service
- Hybrid journals crowd out new, full OA publishing models
- Reader access: a hybrid journal is a “random OA” journal

# Diamond / Platinum / Non-APC / No-fee

- Authors, institutions, or funders do not pay an Open Access fee and the reader does not pay to read.
- Disputes over classification: a distinct category or merely “Gold OA without fees”?
- Who pays? - a variety of no-fee Open Access Publishing Models
- More common in some parts of the world
- Sustainability as a challenge


# Finding Diamond / Platinum / Non-APC / No-fee OA journals



SUPPORT  

SEARCH 

DOCUMENTATION 

ABOUT 

DIRECTORY OF OPEN ACCESS JOURNALS

## Find open access journals & articles.

Journals  Articles

<input type="text"/>	In all fields 	SEARCH
----------------------	---	--------

**80**  
LANGUAGES

**132**  
COUNTRIES  
REPRESENTED

**13,010**  
JOURNALS  
WITHOUT APCs

**18,927**  
JOURNALS

**8,543,981**  
ARTICLE RECORDS



<https://doaj.org>

# The OA Diamond Journals Study, 2021

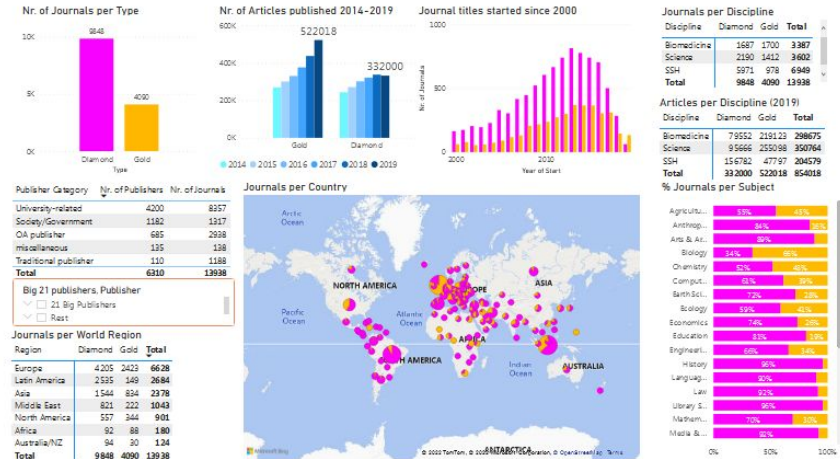
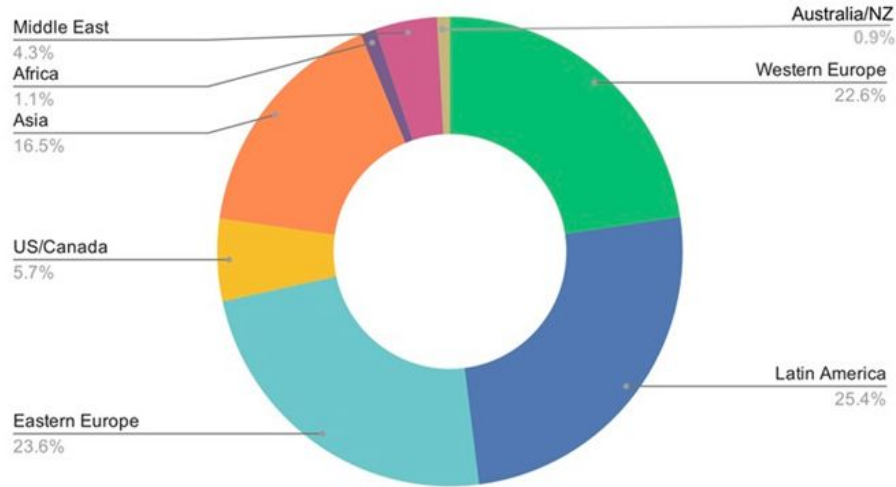


- A large-scale study on Open Access journals across the world commissioned by [cOAlition S](#)
- Findings:
  - many relatively small journals serving diverse communities
  - on the road to full compliance with Plan S
  - A mix of scientific strengths and operational challenges
  - An economy that largely depends on volunteers, universities and government



# Diamond OA is a more common model in some parts of the world

DOAJ - OA diamond journals (n=11,064)



## Gold and Diamond open access journals landscape: Dashboard (based on DOAJ data)

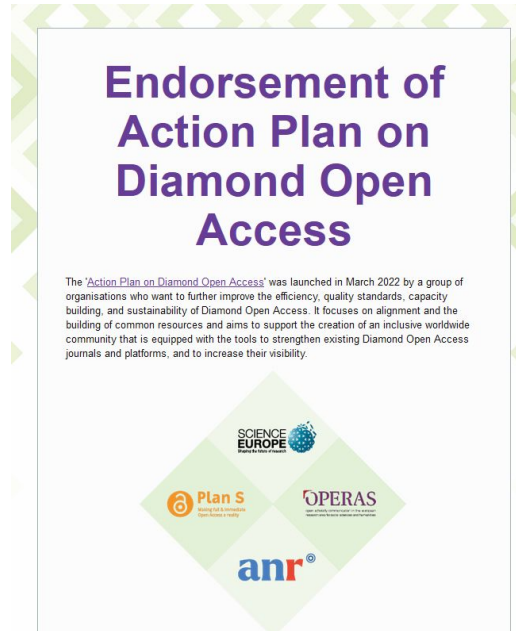
Source: Bosman, Jeroen, Frantsvåg, Jan Erik, Kramer, Bianca, Langlais, Pierre-Carl, & Proudman, Vanessa. (2021). OA Diamond Journals Study. Part 1: Findings. Zenodo. <https://doi.org/10.5281/zenodo.4558704>  
[Creative Commons Attribution 4.0 International](https://creativecommons.org/licenses/by/4.0/)

Source: 'Gold and Diamond Open Access Journals Landscape'. 2020. *Research Consulting* (blog). 22 September 2020. <https://www.research-consulting.com/an-interactive-look-at-the-gold-and-diamond-journals-landscape/>.



# Action Plan for Diamond Open Access (2022)

Ancion, Zoé, Borrell-Damián, Lidia, Mounier, Pierre, Rooryck, Johan, & Saenen, Bregt. (2022). Action Plan for Diamond Open Access. Zenodo.  
<https://doi.org/10.5281/zenodo.6282403>



Diamond OA conference was organized by Science Europe in September 2022.

More details and presentations:

<https://www.scienceeurope.org/events/diamond-oa-conference/>



# DIAMAS project



About

Consortium

The Results

News & Events

Contact



DIAMAS

Developing Institutional Open Access  
Publishing Models to Advance  
Scholarly Communication

**DEVELOPING INSTITUTIONAL  
OPEN ACCESS PUBLISHING  
MODELS TO ADVANCE  
SCHOLARLY COMMUNICATION**

Discover more

- Map the current landscape of Institutional Publishing Service Providers (IPSPs)
- Coordinate and improve the efficiency and quality of IPSPs by developing a European Quality Standard for Institutional Publishing (EQSIP)
- Formulate community-led, actionable recommendations and strategies for institutional leaders, funders/sponsors/donors, and policymakers in the European Research Area (ER)

In 36 months, DIAMAS will deliver an aligned, high-quality, and sustainable institutional OA scholarly publication ecosystem for the ERA, setting a new standard for OA publishing, shared and co-designed with all stakeholders.

<https://diamasproject.eu/>

# What about books?

- More attention should be paid to OA books (e.g. discuss it on dedicated training sessions).
- Self-archiving policies for books are more restrictive and less transparent.
- Promote book publishing platforms such as [OAPEN](#) and discovery services, e.g. [DOAB](#)
- Be aware of the new developments in the area

Resources: [Open Access Books Network](#)

**OA MYTHBUSTERS**



**Do you know the facts about OA books?**



**Emerging areas**

# Open peer review

The screenshot displays the F1000Research website interface. At the top, there is a navigation bar with the F1000Research logo, a search bar, and a 'SUBMIT YOUR RESEARCH' button. Below the navigation bar, there are several menu items: 'BROWSE', 'GATEWAYS & COLLECTIONS', 'HOW TO PUBLISH', 'ABOUT', 'BLOG', 'MY RESEARCH', and 'SIGN IN'. The main content area is divided into two columns. The left column features a research article titled 'Environmental perceptions of global business travel by Swiss companies in the Zurich airport region [version 3; peer review: 2 approved]'. The article is marked as 'REVISED' and has 1258 views and 67 downloads. It is authored by Ignacio Echeverria Arrondo and Bert Wolfs. A badge indicates that the article is included in the Climate gateway. Below the article title, there is an 'Abstract' section. The right column shows a 'Reviewer Report' for the article, dated 28 Sep 2021. The reviewer is Stefan Baumeister, and the report is for version 1. The reviewer's name and affiliation are listed. There are options to 'Cite this report' and 'Responses (1)'. A 'NOT APPROVED' status is shown with an information icon. The abstract text is partially visible, discussing the environmental perceptions of global business travelers in Switzerland.

**RESEARCH ARTICLE** Check for updates

**REVISED** Environmental perceptions of global business travel by Swiss companies in the Zurich airport region [version 3; peer review: 2 approved]

✉ Ignacio Echeverria Arrondo <sup>1</sup>, Bert Wolfs <sup>2</sup>

[Author details](#)

This article is included in the Climate gateway.

### Abstract

**Background:** This article presents findings from research conducted before the coronavirus disease 2019 (COVID-19) pandemic on companies located in the Zurich airport region of Switzerland, regarding the needs for global business travel and its impacts.

**Methods:** The study involved a mixed methods approach. Five hypotheses were tested using inferential statistics on data obtained from pre-tested closed questions in a web-based survey. Deeper context was explored through an interview-based case-study conducted at a Swiss pharma company.

**Results:** Supporting alternative hypothesis 3 (Ha(3)), a significant positive relationship was found between travel frequency and business growth,  $F(1, 100) = 11.31, p = 0.0011$ . Supporting Ha(4), corporate culture had a significant positive relationship with business travel frequency ( $F(1, 100) = 15.50, p = 0.0002$ ) and average trip length ( $F(1, 100) = 6.39, p = 0.01$ ). And thirdly supporting Ha(5), corporate social responsibility had a significant relationship with global business travel (91%). Ho(2) and Ho(3) were accepted. The case study found that smart corporate travel policies and regulations should be instantiated to enhance our environment, which would also benefit employee wellbeing. Travel can be reduced significantly despite being demonstrated that physical co-presence is important for building trust. The case study suggests tools to support the monitoring and management of global business travel by organizations.

**Conclusions:** COVID-19 has impacted travel for business significantly, and future research will be necessary to assess its impact. The article explores the ongoing research in this area, and several relevant implications are proposed for future leaders. The case study found willingness to pay both corporate and individual green taxes, and a deficiency in corporate communication around the environment. Business travel is needed to build trust; however, it can be reduced.

**Reviewer Report** 42 Views

28 Sep 2021 | for Version 1

Stefan Baumeister, University of Jyväskylä, Jyväskylä, Finland

Sami El Geneidy, University of Jyväskylä, Jyväskylä, Finland

Maija Lähteenkorva , University of Jyväskylä, Jyväskylä, Finland

**”** Cite this report

**☰** Responses (1)

**✗ NOT APPROVED**

This research paper addresses an interesting and timely topic as it studies the environmental perceptions of global business travelers in Switzerland. While I very much enjoyed reading the paper and found the findings it provides interesting and to some extent also novel, I must also say that I identified some major short-comings that would need to be addressed before I could recommend indexing this paper.

A major problem I see is with the sample size which is only 104 survey participants. As the authors pointed out correctly, for this population size the minimum sample size should be 384

Some publishers offer it as an option (MDPI)

Use cases:

[PeerJ](#)

[F1000](#) (preprint platform)

[Open Research Europe](#)

Learn more:

- [FOSTER course on open peer review](#)
- Ross-Hellauer, Tony. 2017. 'What Is Open Peer Review? A Systematic Review'. F1000Research. <https://doi.org/10.12688/f1000research.11369.2>.

# Preprints

Preprint is a version of a scholarly paper that has not yet been peer reviewed and published in a peer-reviewed journal. The preprint is usually publicly available on a preprint platform or a repository before a paper is published in a journal. This practice makes it possible to communicate research results early on, without waiting for the formal peer review.

Preprint platforms:

[bioRxiv](#)

[AfricArXiv](#)

[F1000](#)

[PsyArXiv](#)

[SSRN](#) (owned by Elsevier)

[List of preprint repositories on Wikipedia](#)

[Materials in several languages on ASAPbio website](#)

## Issues to explain

- Some researchers don't understand the concept of preprints and their status in career development
- Unfounded fear of academic theft
- History of preprints (e.g. arXiv)
- Role in scholarly communication
- Misuse of early research results in media

Include preprints in your training on Open Access publishing



# Overlay journals

“An overlay journal is an open access, quality-assured journal whose articles are held in one or more repositories. An overlay journal does not host the articles on the journal’s website but links back to the relevant article in an open repository or preprint server.”

COAR

<https://www.coar-repositories.org/overlay-journals/>

[EPIsciences](#) (a platform hosting overlay journals)

The screenshot shows the EPIsciences overlay journals website. The header includes the EPIsciences logo, a language dropdown set to 'EN', and buttons for 'Create account' and 'Sign in'. The main title is 'EpiDEMES'. A left sidebar contains navigation links: Home, Articles, Informations for authors, Editorial Board, About the journal, Credits, and My Account. The main content area displays an article by Nicolas Grenier-Boley and Hussein Sabra. The article title is 'Meeting the challenges of teaching mathematics in higher education today'. Below the title, it shows the DOI: <https://doi.org/10.46298/epidem-9785>, the source: oai:HAL:hal-03720576v2, and publication details: Volume 1 | 2022, Published on: August 26, 2022, Accepted on: July 15, 2022, Submitted on: July 13, 2022. Keywords include [MATH.MATH-HO]Mathematics [math]/History and Overview [math.HO],[SHS.EDU]Humanities and Social Sciences/Education, [MATH.MATH-GM]Mathematics [math]/General Mathematics [math.GM]. The license is Attribution-ShareAlike 4.0 International (CC BY-SA 4.0). There are buttons for 'Download this file' and 'Consult the article webpage'. At the bottom, there is an 'Export' section with buttons for BibTeX, TEI, DC, OpenAIRE, Crossref, DOAJ, zbJATS, and JSON.

# Innovative platforms

- Platforms open by default (even “pay-to-close”)
- Modular publishing
- Diversity of outputs (abstract, analysis, research problem, hypothesis, data, method, interpretation, peer review, etc.)
- Focus on the process (all steps made transparent)
- Collaborative

Examples:

[ResearchEquals](#)

[Octopus](#) (under development)

## Recent modules



# Bibliodiversity

“cultural diversity applied to the world of books”

- preserving diversity in scholarly communication
- greater diversity of products (books, scripts, eBooks, apps, and oral literature) made available to readers
- scholarly communication as an ecosystem resting on:
  - multilingualism
  - open and shared infrastructures and services
  - the diversity of business models in OA publishing
  - quality-based research assessment.

Shearer, Kathleen, Chan, Leslie, Kuchma, Iryna, & Mounier, Pierre. (2020). Fostering Bibliodiversity in Scholarly Communications: A Call for Action. Zenodo. <https://doi.org/10.5281/zenodo.3752923>

# Training tips

- Don't forget that the purpose of scholarly publishing should be scholarly communication (and not profit)
- Highlight and explain the diversity of publishing models
- Uncover misconceptions
- Present use cases
- High-quality materials are available. Use them in you training!
- The topic is huge. Try not to cover all in one session.
- Be informed and cover new developments in you training!

# Questions?

[scmilica@gmail.com](mailto:scmilica@gmail.com)

Twitter: @lessormore4

