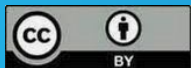


# Open Access Publishing

Milica Ševkušić, EIFL

EIFL Open Science Bootcamp



# Outline

- Concepts of training on Open Access publishing
- Intellectual property rights (copyright, self-archiving, rights retention)
- Poll: Open Access publishing
- 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
- Strong accent on journals in some research communities

# Training topics: the 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

*alternative*

**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)

*alternative*

**ORE  
PREPRINTS**

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

**OPEN ACCESS POLICIES**  
Research outputs must be  
publicly available

## Training topics: focus on copyright

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

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

**COPYRIGHT  
BELONGS  
TO  
AUTHORS**

PREPRINTS

ORE

**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

**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

# Intellectual property rights?

“Intellectual property rights are the rights given to persons over the creations of their minds. They usually give the creator an exclusive right over the use of his/her creation for a certain period of time.” ([World Trade Organization](#))

- Copyright and rights related to copyright:
  - rights of authors of literary and artistic works;
  - rights of performers, producers of phonograms (sound recordings) and broadcasting organizations.
- Industrial property:
  - protection of distinctive signs, in particular trademarks, and geographical indications;
  - inventions (protected by patents), industrial designs and trade secrets.

# 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.

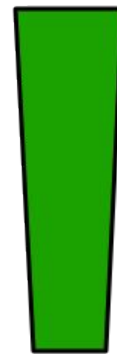
# Creative Commons licences

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.

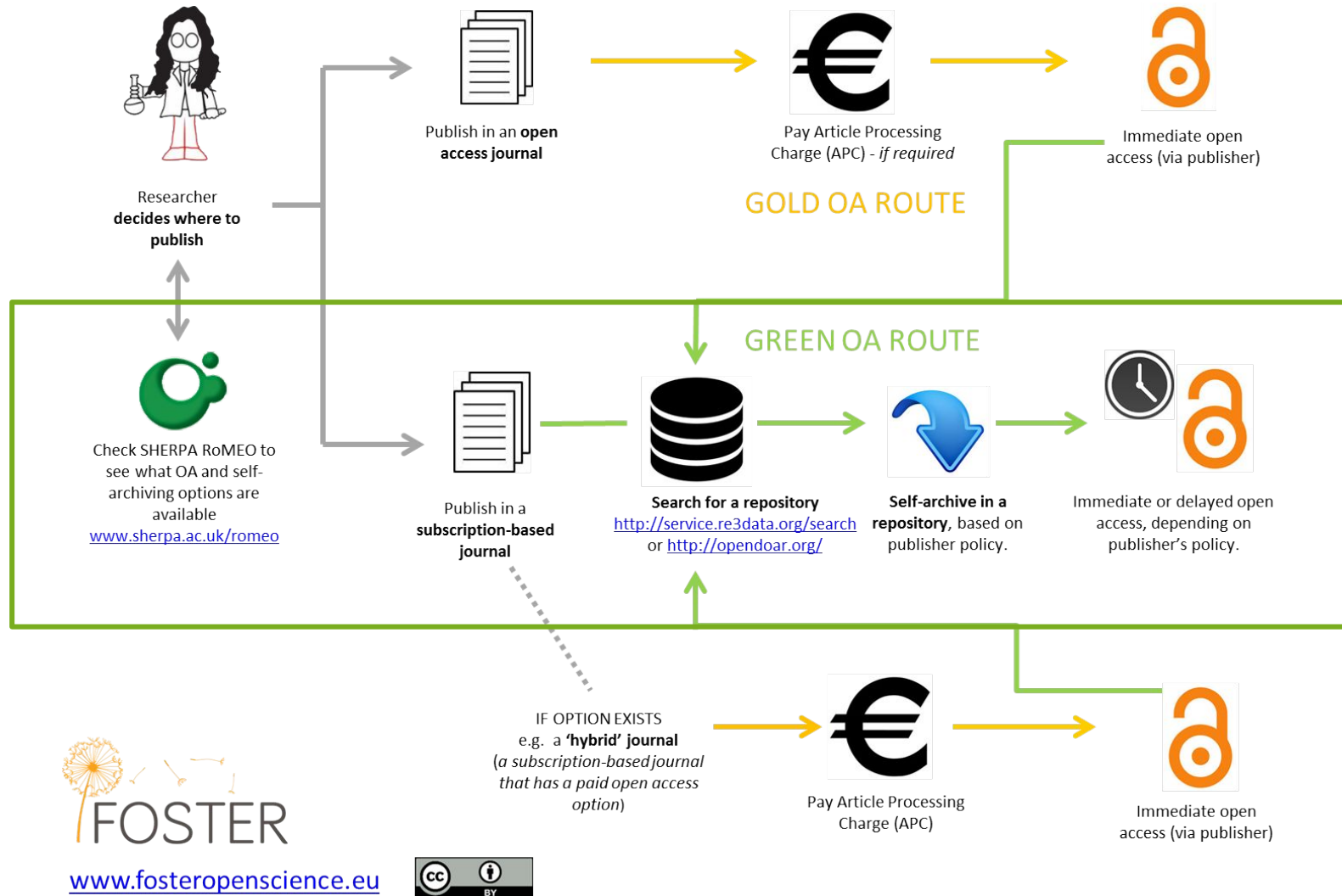
MOST OPEN



LEAST OPEN

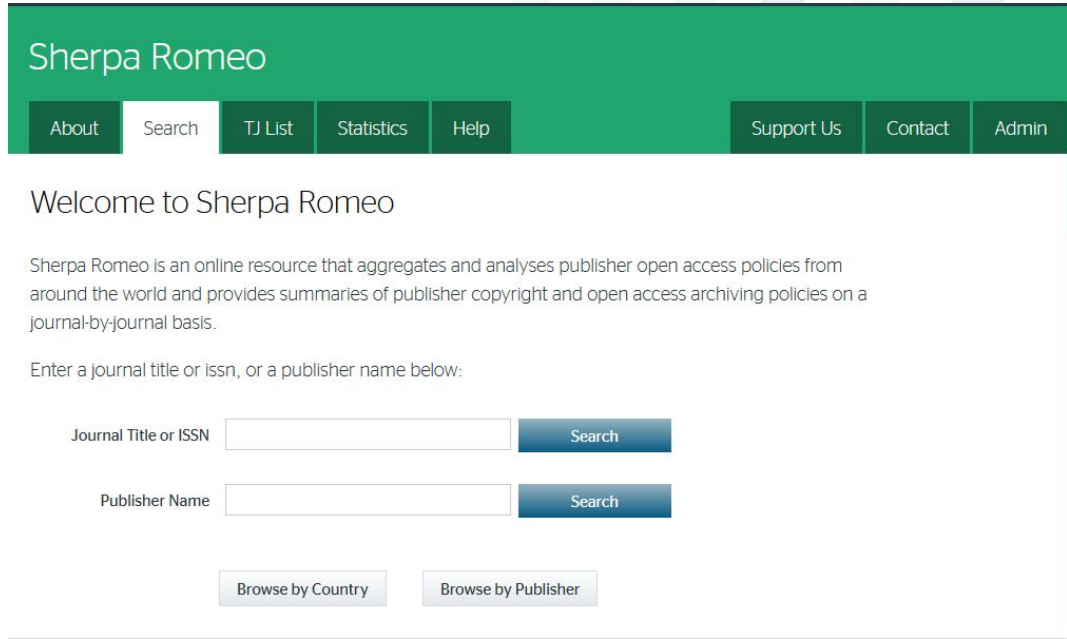
# Self-archiving and rights retention

# 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 area, there are two buttons: 'Browse by Country' and 'Browse by Publisher'.

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

# Rights retention

Mechanisms to enable authors to retain sufficient rights to make their works OA

- Policies requiring authors to retain rights in order to be able to make their works OA
- [Author addendum](#): a modification to a publisher's standard copyright transfer agreement. If accepted, it allows the author to retain key rights, especially the right to make their work OA

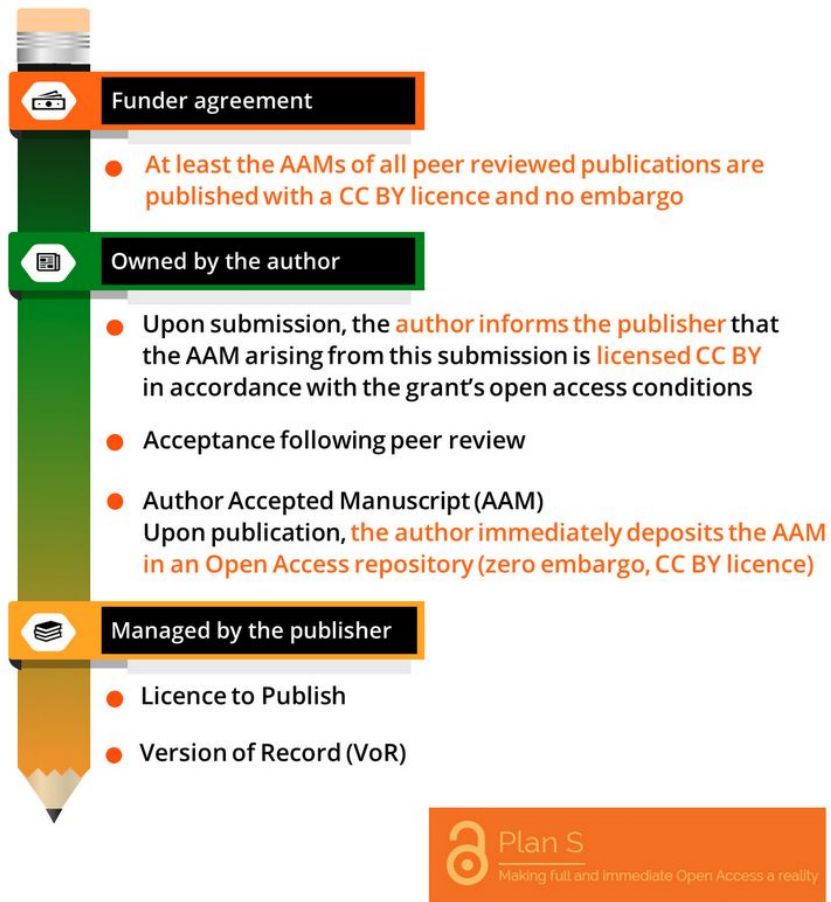
# Rights retention initiatives

## SPARC Author Addendum

A legal instrument that modifies the publisher's agreement and allows authors to keep key rights to their articles

## 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.





# Diversity of Open Access publishing models

# The colours of Open Access

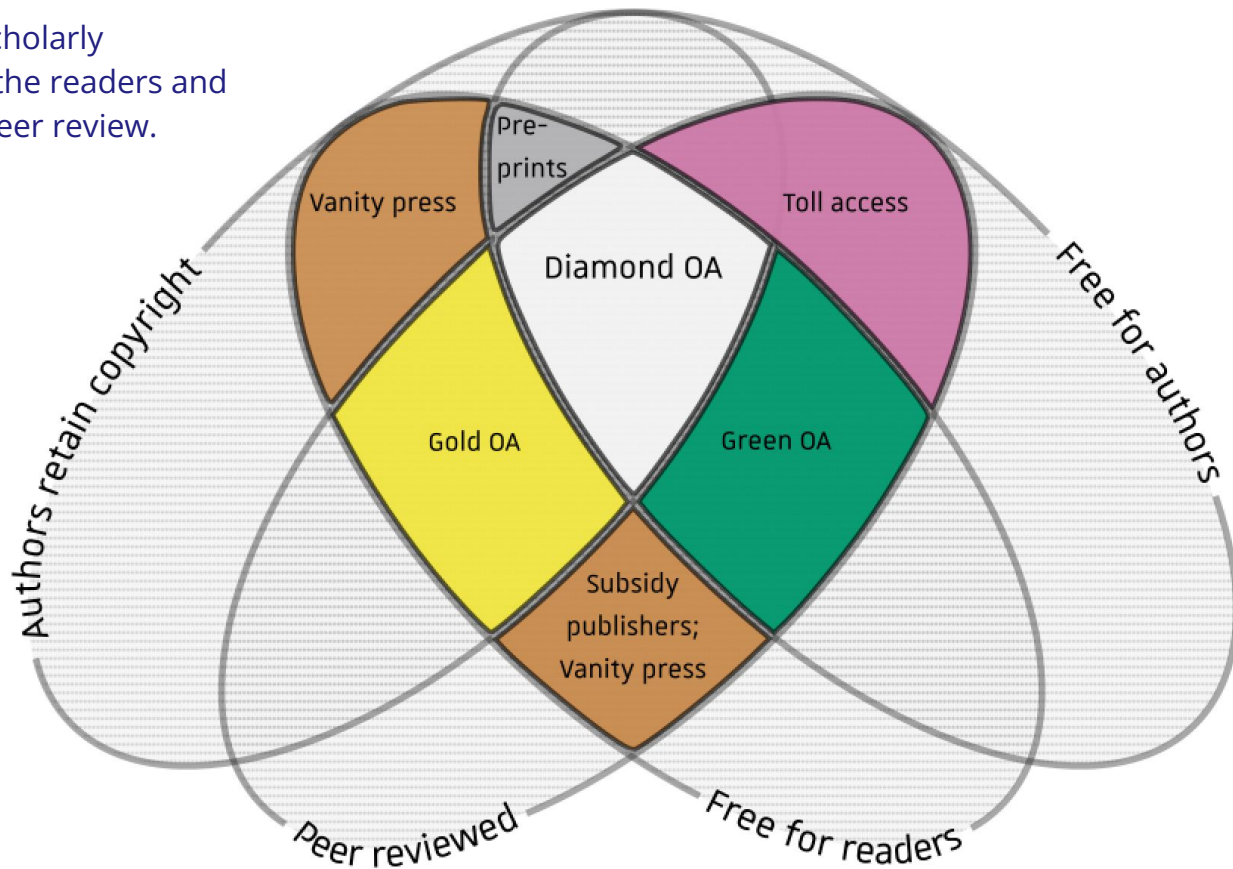
Symbol	Name	Characteristics	Who pays what?
	GOLD	<ul style="list-style-type: none"> <li>• Publishing in OA journals</li> <li>• Licence (most commonly Creative Commons)</li> </ul>	<ul style="list-style-type: none"> <li>• No cost for readers.</li> <li>• Authors or their institutions pay a fee (APC)</li> <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:

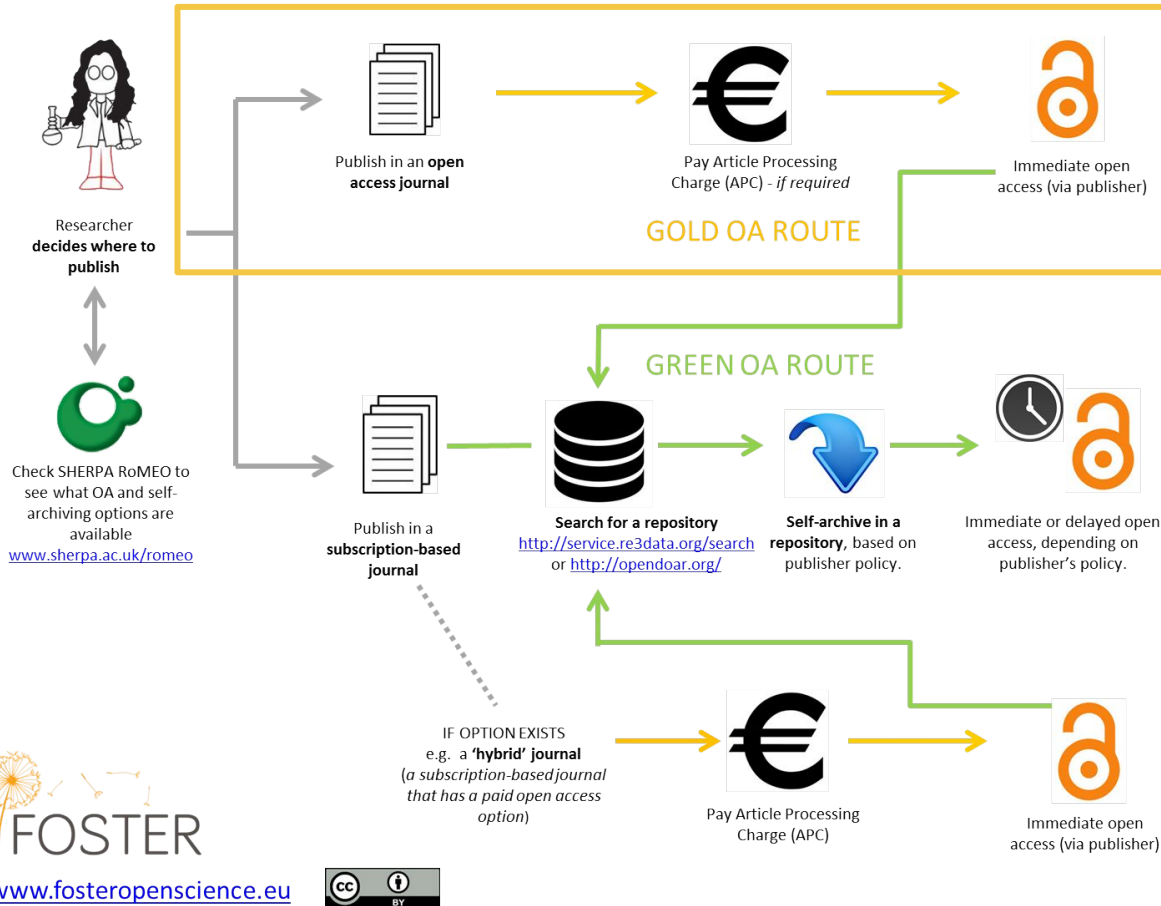
Martín-Martín, Alberto, Rodrigo Costas, Thed N. van Leeuwen, and Emilio Delgado López-Cózar. 2018. 'Unbundling Open Access Dimensions: A Conceptual Discussion to Reduce Terminology Inconsistencies'. <https://doi.org/10.17605/OSF.IO/7B4AJ>

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/)

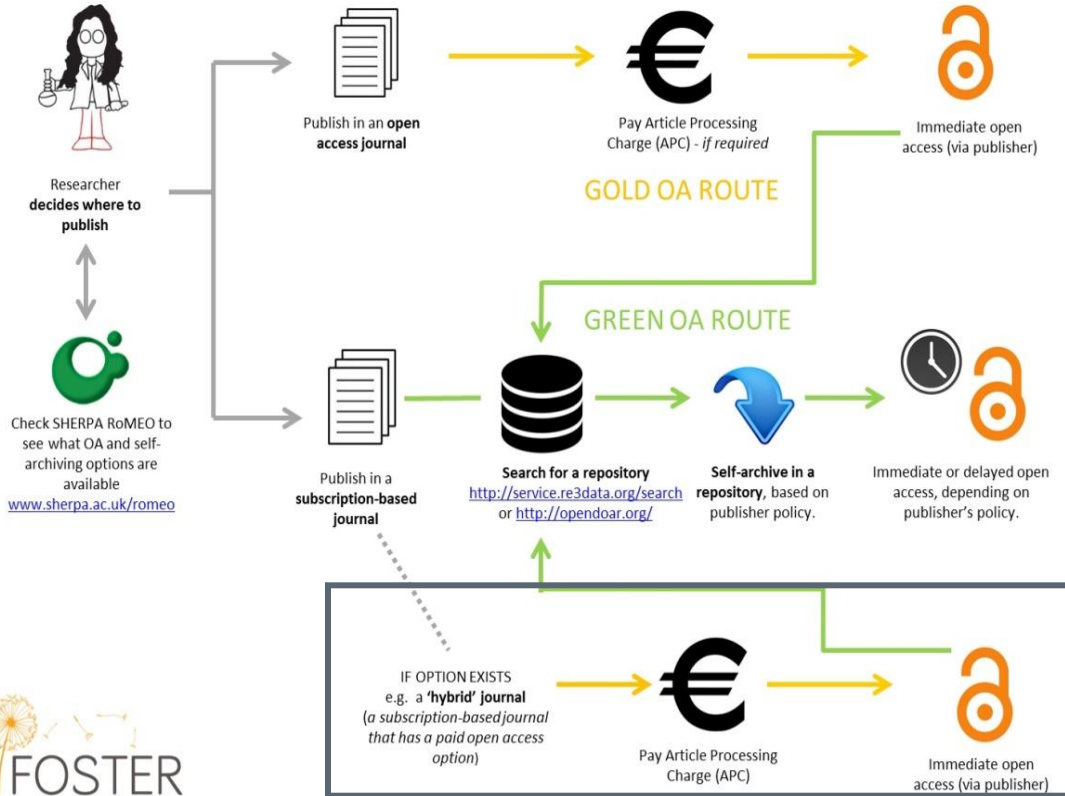
# Gold Open Access



## 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>

# Diamond OA: recent milestones

- Diamond OA study, 2021
  - 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
- Action Plan for Diamond Open Access, 2022
- Diamond OA conference, 2022
- DIAMAS Project, launched in 2022
- Global Summit on Diamond Open Access, 2023

## Endorsement of Action Plan on Diamond Open Access

The 'Action Plan on Diamond Open Access' was launched in March 2022 by a group of organisations who want to further improve the efficiency, quality standards, capacity building, and sustainability of Diamond Open Access. It focuses on alignment and the building of common resources and aims to support the creation of an inclusive worldwide community that is equipped with the tools to strengthen existing Diamond Open Access journals and platforms, and to increase their visibility.

Endorse the plan:  
<https://surveys.scienceurope.org/index.php/241774>





# 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?**

The background is a solid dark blue color. On the right side, there is a pattern of concentric, semi-circular lines that curve towards the right edge. Interspersed among these lines are small, light blue dots, creating a ripple or wave-like effect.

**Emerging areas**

## Concept and planning

- Idea
- research problem
- data
- method
- pre-registered study
- blog post
- social media outlet

## Explore and organize

- Idea
- hypothesis
- data
- blog post
- social media outlet

# RESEARCH LIFECYCLE

## Collect and analyze

- data
- analysis
- interpretation
- blog post
- social media outlet

## Impact and engagement

- data
- peer review
- blog post
- social media outlet

## Outputs and publications

- publications
- preprints
- data
- peer review

Communication  
throughout the  
research lifecycle

# Open peer review

F1000Research  [SUBMIT YOUR RESEARCH](#)

[BROWSE](#) [GATEWAYS & COLLECTIONS](#) [HOW TO PUBLISH](#) [ABOUT](#) [BLOG](#) [MY RESEARCH](#) [SIGN IN](#)

[Home](#) » [Browse](#) » [Environmental perceptions of global business travel by Swiss companies...](#)

RESEARCH ARTICLE



**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.

**ALL METRICS**

1258  
VIEWS

67  
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## 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>.

Include open peer in your training on Open Access publishing!

# 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/epidemmes-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

Creating nice tables in R	ResearchEquals Lightning Talk @ Exploring the potential of alternative publishing models (JISC workshop)	Manuscript accepted for publication	Updated version after review of: R script Individual Patient Data Meta-analysis Type D
Creating nice tables in R - mind map	Making all research work visible	An interactive research dilemma using Twine	Bribery Games - A Meta-Analysis
ALL-IN-META-BCG-CORONA Newsletter 4	ALL-IN-META-BCG-CORONA Newsletter 3	ALL-IN-META-BCG-CORONA Newsletter 2	ALL-IN-META-BCG-CORONA Newsletter 1
Precision of detecting identifying information	URLs to open datasets (CSV) hosted on the Open Science Framework	Workshop 2, Leaving the Academy	Workshop 1, Leaving the Academy
Leaving the Academy: A Participatory Open Research Approach	Objective characterization	Probabilities of	Charting the Constellation of Research Problems

Idea  
Low-cost cellular reagents for biotech programming in a community lab setting

[View authors](#)

*Summary*  
Cellular reagents could be prepared for polymerase to lower the cost of reagents for PCR-based workshops delivered as outreach out of community labs. Research in the methods for accomplishing such a feat would contribute to global efforts to better document the process of making enzymes used as biotech reagents at the small-scale. Furthermore, well-documented protocols would provide an opportunity for volunteers to participate in preparing the materials for PCR & Pizza. Ultimately this would serve to develop and highlight the capacity to create low-cost enzyme reagents within community labs.

# 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!

# Recommended training exercises

- Describe policy requirements and ask participants to select eligible journals (use [SherpaRomeo](#) and/or [PlanS Journal Checker Tool](#), [Think. Check. Submit](#), [DOAJ](#), check publisher websites).
- Describe use cases that you encounter in your work. Ask participants to use licence wizards (licence choosers) to select the most appropriate licence for a specific use case.
- Practice a scenario where an author would be required to use a rights retention mechanism.
- Select a set of journals and assess them using the using [Think. Check. Submit](#) checklist.

# Questions?

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