

# Proceedings of the Sino-German Symposium on Development of Library and Information Services 2009

*Edited by* Uwe Rosemann  
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## **Proceedings of the Sino-German Symposium on Development of Library and Information Services 2009**

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# Open Access and the Collaboration with Publishers

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**Abstract** Open Access has seen many political statements, mandates to deposit and other useful implementation activities. Often these activities focus on the library and repository area. The European OAPEN and PEER projects aim to explicitly collaborate with publishers on various strands. OAPEN's (Open Access Publishing in European Networks) initial focus is on University Presses and on Open Access for monographs in the Humanities and Social Sciences. PEER is a joint effort of STM publishers, research, library and repository communities to work on evidence-based research for the deposit of journal articles and to define harmonised workflows for the direct transfer of journal articles (incl. metadata) to repositories.

Finally, the paper gives a brief introduction into COAR (Confederation of Open Access Repositories), a new international organisation which aims to bring together repository networks from all countries and continents.

**Keywords** Open Access, publishers, repositories, university presses

## 1. OAPEN – European Publishers Collaborate to Enable Open Books

Scholarly publishers are beginning to discover that Open Access is a publishing option for books as well as for journals. This offers new opportunities for international visibility and uptake of research in particular in the Humanities and Social Sciences, but also presents challenges for a careful design of sustainable publishing models. A promising route to pursuing this goal is by joining forces as a network of publishers and to collaborate with libraries providing repository infrastructures.

The European “Open Access Publishing in European Networks” project (OAPEN) aims to develop and implement Open Access publication models for academic books in the Humanities and Social Sciences. The project, co-funded by the eContent<sup>plus</sup> programme, started in September 2008 and will run for 30 months until February 2011. The OAPEN consortium consists of seven university presses (Museum Tusulanum Press Copenhagen, Presses Universitaires de Lyon, Amsterdam University Press, Leiden University Press, Firenze University Press, Universitätsverlag Göttingen, Manchester University Press) and two universities as technology and research partners (Amsterdam and Leiden University, respectively). All involved presses are open-minded with regard to Open Access and aim to analyse and implement appropriate publishing and financing mechanisms in a shared publishing environment.

OAPEN addresses the needs of Small and Medium-Sized Enterprises (SME) and not-for-profit publishers. Its purpose is to offer its solutions to publishers as well as to stakeholders such as authors, libraries and research funders. OAPEN will aggregate content from SME publishers to attain a collection of high-quality HSS books substantial enough to be useful and sustainable.

## **1.1 Key Objectives**

The key objectives of OAPEN are

- to improve the accessibility and impact of European research in the Humanities and Social Sciences
- to create and aggregate peer-reviewed books across Europe in an Open Access Online Library
- to promote the extension of Open Access funding mechanisms to book publishing
- to serve as a network of expertise and test bed for Open Access book publishing experiments
- to adopt common standards and metadata to improve the retrievability and visibility of HSS publications
- to reuse and share infrastructure (OAPEN platform)

## **1.2 Open Access Platform for Books**

To achieve its key objective, i.e. improving the accessibility and impact of European research in the Humanities and Social Sciences, OAPEN will aggregate and present freely-available peer-reviewed books across borders within an Open Access Online Library. The OAPEN platform will present this collection in an integrated fashion and will deliver additional services adapted to the needs of users and publishers. This includes searching and browsing functionalities as well as order mechanisms for print copies, including high-quality print and print on demand.

In practical terms, OAPEN strives to integrate a wide variety of publications into its collection and to market the content, in particular by the creating of a brand based on high-quality standards and professional services. To disseminate the content as far as possible, the platform will offer metadata via standard interfaces to other service providers, like subject-based portals and databases. To enable such services, the consortium has agreed on metadata standards like OAI-PMH as well as requirements for metadata, based on the guidelines developed by the DRIVER [1] European infrastructure project.

## **1.3 Network of Stakeholders**

Within its first year, OAPEN has been active in developing a network of stakeholders with a strong interest in sustainable book publishing as well as a wide dissemination of research outputs on the basis of Open Access. This involves not-for-profit as well as commercial publishers, libraries, funders and academic institutions. In this context, OAPEN acts as a network of expertise, offering a discussion forum and the opportunity to gain practical experiences.

Network partners are invited to contribute to the development of the project and to use the OAPEN platform as a test bed for Open Access experiments.

## **1.4 OAPEN's Research**

To explore the needs of stakeholders with regards to book publishing and Open Access, OAPEN is conducting a series of studies; the first exploring the attitudes and expectations of all stakeholder groups with respect to electronic publishing and Open Access. The second study combines a systematic overview of on-going experiments on Open Access publishing of books with a snapshot of the book-funding landscape in Europe. This is based on interviews with experts, round table discussions and online surveys addressing various aspects

of this varied and complex field. These explorative studies of expectations and activities conclude with a report summarising best practices and reflecting this on the publishing model OAPEN will offer.

By now, the majority of funders' Open Access policies are focussing on the publication of journal articles, but there are a few examples which provide special opportunities for the Open Access funding of books. Announced in early October 2009, the Austrian Science Fund (FWF) has launched new Open Access programmes which particularly extend the project-related funding of Open Access publications to monographs. Moreover, it introduces additional Open Access subsidies into FWF's traditional book-funding programme [2]. These programmes are considered as a test and will be evaluated after three years. Only a few other research funders already expect researchers to provide Open Access for project-related books.

Based on its research and practical experiences, OAPEN will continue its discussion with private and public research funders. The project is interested in exploring how funders and institutional policies on Open Access publishing can be extended to book publishing and how the publishing model and infrastructure developed by OAPEN might serve as an environment to further reshape the book-publishing landscape.

### **1.5 Forthcoming Activities**

In the forthcoming months, OAPEN is building up its virtual network of publisher's repositories, accomplished by a central repository for smaller publishers. OAPEN will strive to further extend its network especially with commercial publishers to attain critical mass and to further develop its service concept. Publishers interested in collaboration with OAPEN will be offered an Open Access publication scheme, including model licences and a calculation framework for Open Access books based on hybrid print and electronic editions. To summarise, OAPEN, with its collaborative approach, aims to develop a key business and funding model which will benefit other publishers in the Humanities and Social Sciences. At the same time, this will serve librarians, academics and the general public by providing a growing Open Access collection as an ideal resource for research and reading. Similar to the Sciences, Technology and Medicine, the development of Open Access opportunities for the Humanities and Social Sciences will heavily depend on the commitment and policies of research institutions, libraries and research funders.

## **2. PEER – Pioneering Collaboration Between Publishers, Repositories and Researchers**

PEER [3] (Publishing and the Ecology of European Research), supported by the EC eContentplus programme [4], has been set up **to monitor the effects of large-scale, systematic archiving of authors' final peer-reviewed research outputs** accepted for publication (so called Green Open Access or stage-two research output) on reader access, author visibility and journal viability, as well as on the broader ecology of European research.

Peer-reviewed journals play a key role in scholarly communication and are essential for scientific progress and European competitiveness. The publishing and research communities share the view that increased access to the results of EU-funded research is necessary to maximise their use and impact. However, they hold different views on whether mandated deposit in open access repositories will achieve greater use and impact. There are also dif-

ferences of opinion as to the most appropriate embargo periods. No consensus has been reached on a way forward so far.

The lack of consensus on these key issues stems from a lack of clear evidence of what impact the broad and systematic archiving of research outputs in open access repositories might be, but PEER aims to change this through building a substantial body of evidence, via the development of an “**observatory**”, to monitor the effects of systematic archiving over time.

PEER’s role is to deliver credible data (observables), insights into the impact of self-archiving and models that publishers, libraries and funding agencies can use to develop consistent and workable policies that benefit researchers. However, it should be noted that the project partners feel strongly that PEER should not recommend what these future policies should be.

## 2.1 PEER Consortium

The PEER Consortium consists of seven partner organisations representing the key stakeholder communities involved in academic research and scholarly publishing: The library & repository communities, scholarly publishers and research communities including research funding bodies and researchers both as authors and readers. The five Executive members are:

- International Association of Scientific, Technical and Medical Publishers (STM) – Project co-ordination
- European Science Foundation (ESF)
- Göttingen State and University Library (UGOE)
- Max-Planck-Gesellschaft (MPG)
- Institut National de Recherche en Informatique et en Automatique (INRIA)

In addition, the SURF Foundation and the Universität Bielefeld bear the function of technical partners.

## 2.2 PEER Observatory

Key to the observatory are the publishers and repositories which have agreed to participate in PEER. PEER currently benefits from the active support of twelve participating publishers who have proposed a total of 240 journals to date for active participation in the project in the areas of life sciences, medicine, physical sciences as well as social sciences & humanities.

As of September 2009, the STM publishers participating in PEER are:

- BMJ Publishing Group
- Cambridge University Press
- EDP Sciences
- Elsevier
- IOP Publishing
- Nature Publishing Group
- Oxford University Press
- Portland Press
- Sage Publications
- Springer
- Taylor & Francis Group
- Wiley-Blackwell

At present, six **repositories from across the EU** are participating in PEER:

- eSci.Doc.PubMan, Max-Planck-Gesellschaft zur Förderung der Wissenschaften e.V. (MPG) (<http://pubman.mpdl.mpg.de/>)
- Göttingen State and University Library (UGOE) (<http://repository.peerproject.eu:8080/jspui/>)
- HAL, Institut National de Recherche en Informatique et en Automatique (INRIA) & Centre pour la Communication Scientifique Directe (CCSD/CNRS) (<http://hal.archives-ouvertes.fr/>)
- BIPrints, Uni Bielefeld (<http://129.70.12.25/opus4/public/home>)
- Kaunas University of Technology, Lithuania (<http://peer.elaba.lt/fedora/search> )
- University Library of Debrecen, Hungary (<http://ganymedes.lib.unideb.hu:8080/udpeer/>)

The e-Depot of the Koninklijke Bibliotheek (National Library of The Netherlands) serves as a long-term preservation archive for all the PEER content.

### **2.3 Content**

Collectively, the journals actively participating in PEER are expected to provide approximately 20,000 EU articles for the project each year, giving a total of around 60,000 over the three-year duration.

To ensure a critical mass of content for the project, participating publishers are submitting approximately half of the articles in each of the four broad subject disciplines on behalf of the authors. For the remaining half, publishers will invite authors to submit their own accepted manuscripts to repositories participating in PEER (or to an alternative repository of their choice). To facilitate the identification of PEER articles submitted by EU authors, publishers are also providing metadata for the journal articles participating in the author submission aspect of the project.

### **2.4 Infrastructure to Enable Publisher and Author Deposits**

To assist the deposits being made by publishers on behalf of authors, a central facility called the PEER Depot has been created. Content is being submitted from both publishers and authors to the PEER Depot, a central facility for adjusting deposits, and will be held there until expiry of the embargo period, after which it will be distributed to the participating repositories and the LTP depot.

Procedures for manuscript deposit for repository managers and publishers were used as the basis of the guidelines to be followed by participating publishers and repositories. These Guidelines are publicly available from the PEER website [5].

Following extensive consultation with the participating publishers and repository representatives, standards for full-text formats and metadata elements have been defined: The full-text articles have to be provided as PDFs, with PDF/A-1 the preferred format.

The metadata requirements have been derived from the DRIVER Guidelines [6]. Mandatory metadata elements identified for PEER are: Title, Creator, Date, Identifier and Type. Additional metadata elements are recommended.

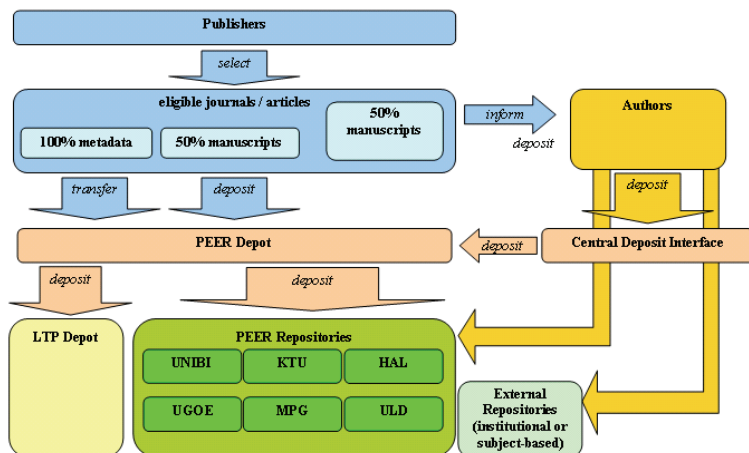


Figure 1: PEER deposit workflow

## 2.5 Workflow

Publishers will deposit both 50% of the full-text outputs, as well as 100% of the metadata outputs from eligible journals at the PEER Depot. The 50% full-text outputs will be transferred from the PEER Depot to the repositories participating in PEER (see Figure 1 and Figure 2).

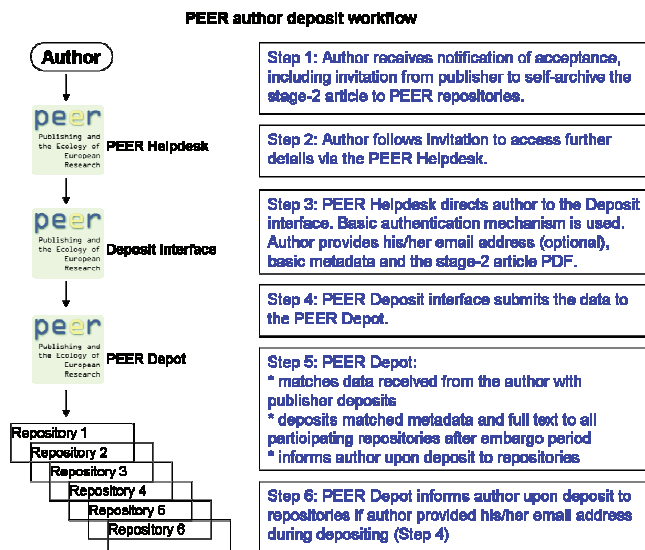


Figure 2: Content submission by authors

## **2.6 Author Communication**

The PEER project intends to limit interference with established deposit practise, in support of the behavioural research methodology envisaged.

For data privacy reasons, the participating publishers are not able to make the contact details of eligible authors available and no direct communication is envisaged. Publishers are therefore provided with generic texts to communicate sufficient and consistent information to authors.

At the point of acceptance of their manuscripts by their publishers, the authors will receive an invitation to deposit their manuscript within the framework of the PEER project. However, since it is expected that authors may choose to respond immediately upon receipt of invitation to deposit, the invitation will be linked to the PEER Helpdesk website where authors are informed about their deposit options.

## **2.7 PEER Helpdesk**

In addition to the PEER website information, the PEER Helpdesk [7] has been established as a key point of contact for stakeholders, primarily however for supporting authors who may need guidance with self-archiving, perhaps even for the first time. The Helpdesk will offer direct support by means of an online query and mediated response service in the form of a ticket system throughout the project duration. Although it is expected that the implementation of the Guidelines will be straightforward, the PEER Helpdesk will guide publishers and repository managers through the deposition process by offering consistent explanations and information.

Moreover, the author is given the option to deposit immediately at the Central deposit interface linked from the helpdesk. This online interface guides authors through a simple deposit procedure for direct deposit to the PEER Depot.

## **2.8 PEER Research**

The PEER Research is divided in three major strands: Usage Research, Behavioural Research and Economic Research [8]. The Usage and Behavioural research teams have already taken up their work with the tender for Economic research still being open at the moment.

To ensure the quality control of the research undertaken for PEER, a Research Oversight Group supports PEER through the evaluation of the tenders, advises on methodologies and provides recommendations to the PEER Executive which makes the final selection of research teams.

The Research undertaken so far involves interactions between the research teams and participating publishers and repositories for the usage research and the research community as authors and readers for the behavioural research.

A complete review of the selection process for participating journals [9] was also undertaken to ensure the validity of the content selected for PEER.

### *2.8.1 Behavioural Research*

Behavioural Research is being undertaken by the Department of Information Science and LISU at Loughborough University. The research team has been using questionnaires and

undertaking focus groups to explore researcher attitudes towards open access repositories, both as authors and users. The objectives of this strand of research are to track trends and explain patterns of author and user behaviour in the context of so called Green Open Access and to understand the role repositories play for authors in the context of journal publishing as well as for users in the context of accessing journal articles. The results will form a baseline report for PEER. The research will be repeated later in the project to assess whether attitudes have changed over time.

### 2.8.2 Usage Research

The repositories participating in PEER, along with the twelve participating publishers, are providing usage data (log files) for the Usage Research being undertaken by the CIBER group, University College London, UK. The procedure is documented in the *D2.2 Final report on the provision of usage data and manuscript procedures for publishers and repository managers*, publicly available from the PEER website [10]. The Usage research is therefore measuring the actual behaviour of researchers as users and other non-research users of research content. The objectives of the PEER usage research are to determine usage trends at publishers and repositories; to understand the source and nature of use of deposited manuscripts in repositories and to track trends, develop indicators and explain patterns of usage for repositories and journals.

### 2.8.3 Economics Research

An additional area of research looking at the **Economics** of Green Open Access will be undertaken in 2010 and this will also involve interaction with the identified target user groups.

## 3. COAR – The New International Confederation of Open Access Repositories

The international Confederation of Open Access Repositories (COAR) was launched in Ghent on 21 October, during Open Access Week 2009 [11]. The aim of the organisation is the networking of over 1000 global scientific repositories comprising peer-reviewed publications under the principle of Open Access. This will be achieved by means of common data standards and the co-ordination of scientific research policy development.

Coinciding with the sixth anniversary of the Berlin Declaration to provide “free and unrestricted access to sciences and human knowledge representation worldwide”, COAR takes responsibility for the execution of this vision in bringing together scientific repositories in a wider organisational infrastructure to link confederations across continents and around the globe in support of new models of scholarly communication.

COAR emerged from the European DRIVER project, (Digital Repository Infrastructure Vision for European Research), funded by the EU Commission under the 6th and 7th Framework Programmes for “eInfrastructures”.

Among the 28 founding members of COAR, 23 organisations are based in 13 European countries; others in China, (Chinese Academy of Sciences), Japan (National Institute of Informatics and the Digital Repository Federation), Canada (Canadian Association of Research Libraries) and the USA (University of Arizona for the Global Registries Initiative).

As the membership continues to grow, interest in COAR is reflected in numerous related organisations such as the SURF Foundation, JISC, SPARC Europe and eIFL.net, as well as OCLC and Microsoft Research, all of whom support a common strategic objective to make research findings freely accessible to science and society.

The objectives of COAR are defined by the needs of the community and include topics such as filling repositories with content (e.g. through concerted OA agreements with publishers), facilitating and ensuring interoperability of repositories across countries, publications and research data or operating and maintaining a global datastore of repositories. The latter would offer metadata through machine-to-machine interfaces for the inclusion of repository data by service providers.

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