

# All that glitters is not gold - Alternative forms of Open Access

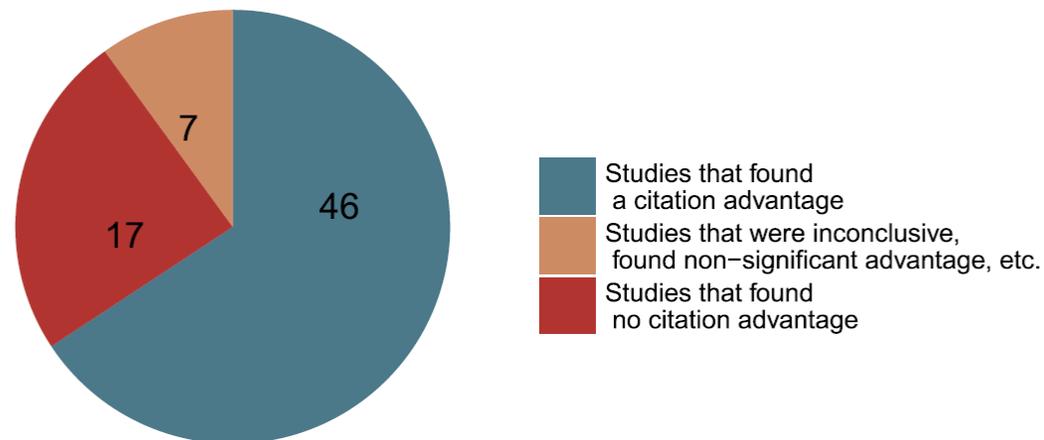
*Demmy Verbeke*

- why Open Access?
- different ways of achieving OA
- open archiving
  - stages of a manuscript
  - rights retention
- cost of OA
  - collective funding / Diamond OA
- rethink scholarly communication
  - first publish, then review
  - innovative publication platforms

# why Open Access?

## 1. for the good of research

**OPEN SCIENCE:  
JUST  
SCIENCE  
DONE RIGHT**



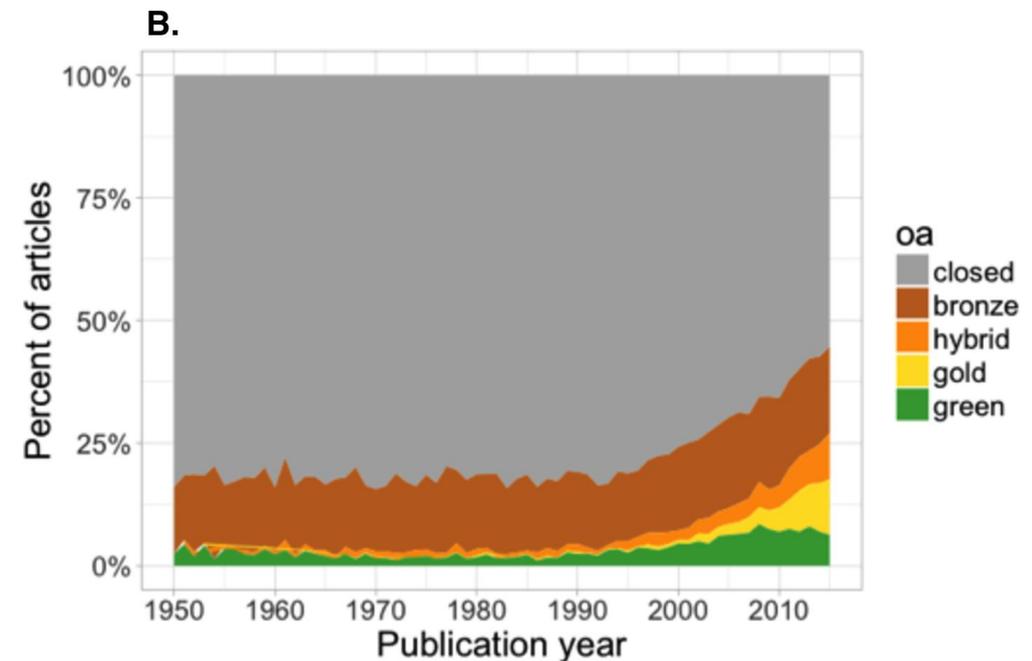
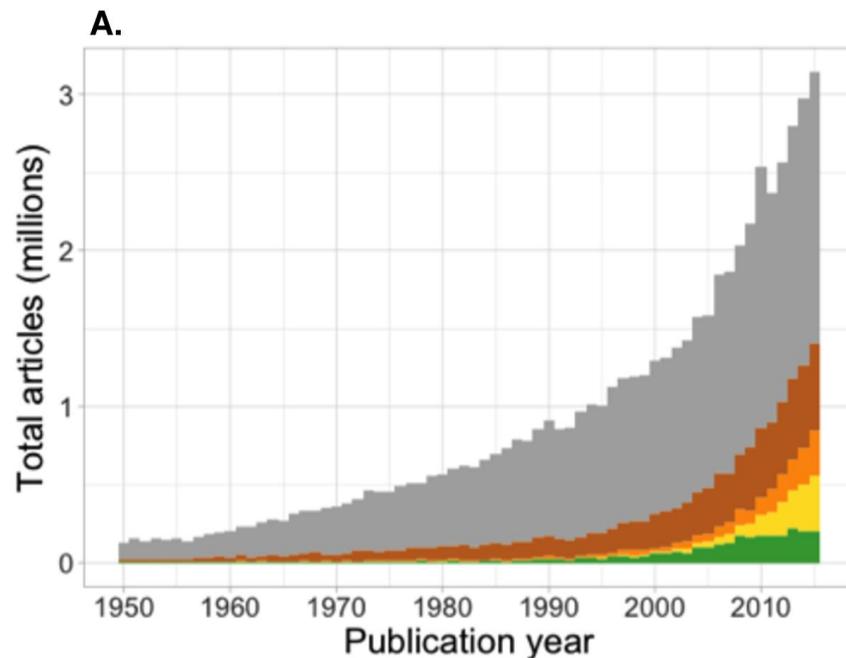
**Figure 2. Studies that investigated the citation advantage grouped by their conclusion.** The majority concluded that there is a significant citation advantage for Open Access articles. Source: Data from The Open Access Citation Advantage Service, SPARC Europe, accessed March 2016.

# why Open Access?

1. for the good of research
- 2. worldwide access to research results, both inside and outside academia**



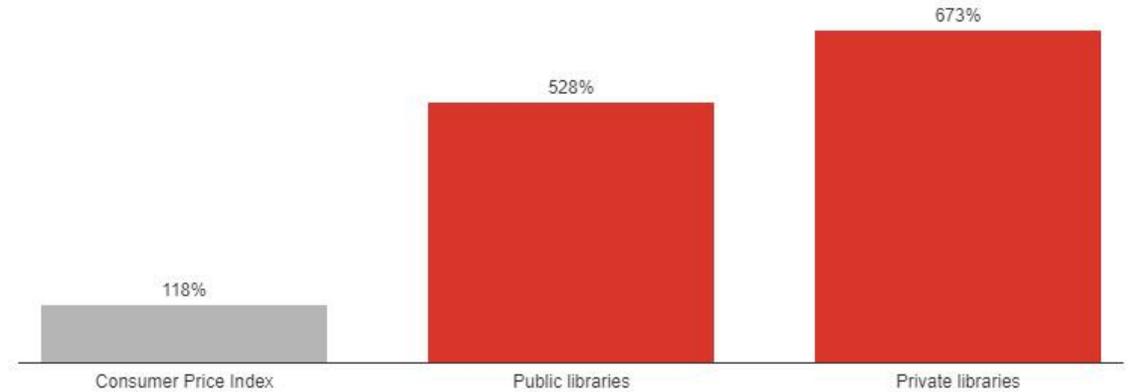
a majority of results of scholarly research remains inaccessible to a majority of people on this planet



# why Open Access?

## Libraries need to pay more and more to keep up

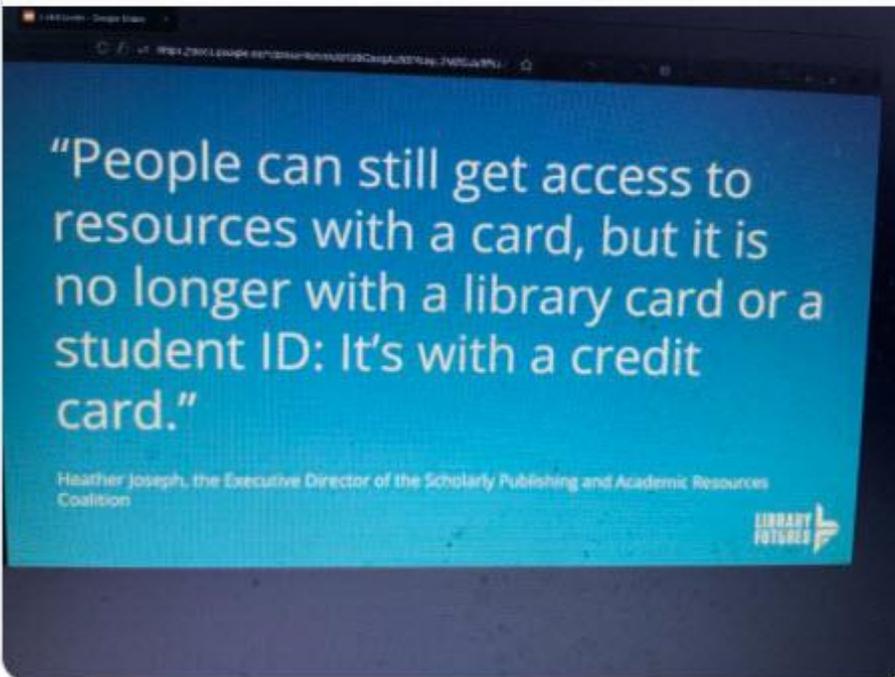
Members of the Association of Research Libraries report spending more annually on resources, including journal subscriptions. Growth in these expenditures by public and private libraries from 1986 to 2015 has far outpaced inflation as measured by the Consumer Price Index.



The Conversation CC-BY-ND  
Source: Association of Research Libraries

 Cathal McCauley @cathalmccauley · 21h

Powerful presentation from @little\_wow @library\_futures about the threat developments around ebook provision represent to libraries and society #ebooksos



12:13 PM · Jan 27, 2022 · Twitter Web App

1. for the good of research
2. worldwide access to research results, both inside and outside academia
- 3. financial reasons**



**SO APPARENTLY YOU HAVE TO WRITE THE JOURNAL  
ARTICLE FOR FREE, AND OTHER PEOPLE REVIEW IT FOR FREE**

imgflip.com



**AND THEN THE PEOPLE WHO OWN THE JOURNAL  
CHARGE THOUSANDS FOR ANYONE TO BE ABLE TO READ IT**

imgflip.com



# why Open Access?

**Support the Guardian**  
Fund independent journalism with €5 per month  
[Support us →](#)

**News** | **Opinion** | **Sport** | **Culture** | **Lifestyle** | **More** ▾

Education ▶ Schools Teachers Universities Students

**Occam's corner**  
Universities

## It's time for academics to take back control of research journals

The evolution into a highly-profitable industry was never planned. Academics must make the case for lower-cost journals

**Stephen Curry**  
@Stephen\_Curry  
Thu 25 May 2017 07:30 BST

[f](#) [t](#) [e](#) **43**



1. for the good of research
2. worldwide access to research results, both inside and outside academia
3. financial reasons
- 4. take back control of scholarly communication**

---

## 4.2 DYSFUNCTIONING OF THE SCHOLARLY COMMUNICATION

---

The nature of scholarly communication in the IC significantly. In last twenty years period, many p their digital or online edition, popularly known a new scholarly journals were also launched purely

through state support of researchers at state higher-education institutions. In addition, they disseminate their research with no expectation of direct financial reward.

### Scholarly Communication in Crisis

The formal system of scholarly communication is showing numerous signs of stress and crisis. Throughout the 20th century commercial firms have assumed increasing control over the scholarly journals market, particularly in the technical, and medical fields. The journal publishing industry has also become increasingly consolidated and is

### ISSUES OF STRUCTURE AND CONTROL IN THE SCHOLARLY COMMUNICATION SYSTEM

Charles B. Osburn<sup>1</sup>

This article begins with the identification of the library perception of forces out of control in the scholarly communication system and proceeds to a description of attempts libraries are making to regain a sense of control. In reaction to papers prepared by publishers, the article then addresses points of similarity or contrast between scholarly publishers and research libraries, with emphasis on the concept of selectivity. Possibilities for the restructuring and control of certain aspects of the scholarly communication system are suggested.

## Revitalising the role of universities in scholarly communication

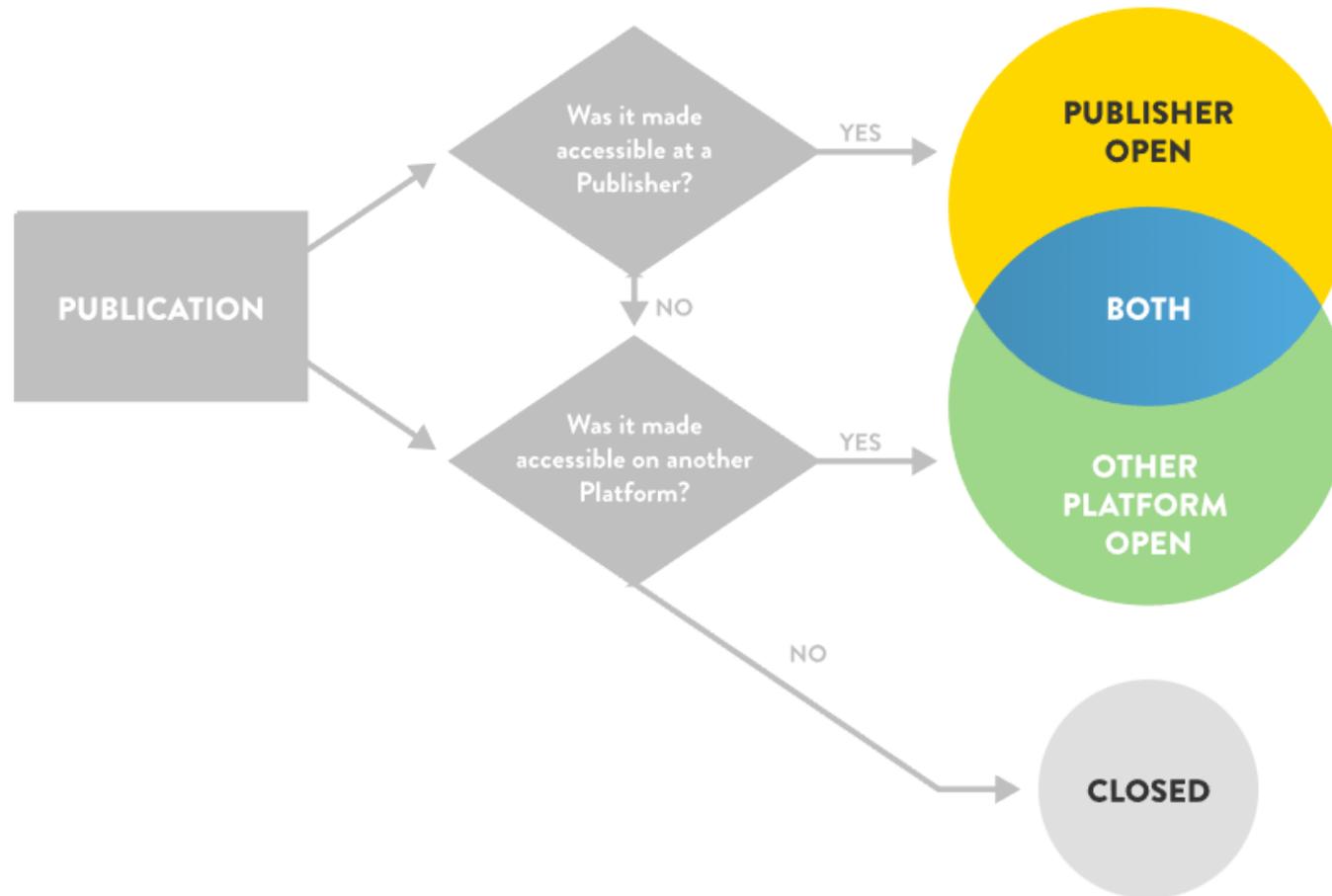
17 February 2020 | [Eloy Rodrigues, University of Minho Libraries](#)

**Scholarly publishing is at a crossroads between commercial vendors and community-driven services.** [Eloy Rodrigues from the University of Minho](#)

## The Need to Transform Scholarly Communication

The past twenty years have seen many changes in scholarly communication. Unsustainable rising costs of traditional and electronic publishing of books and journals are cause for concern by publishers, librarians, educators, and scholars and have decreased access to materials over time. Many have come to believe that innovation, equity in education, and the needs of society require breaking down barriers to the use of scholarly material.

# different ways of achieving OA

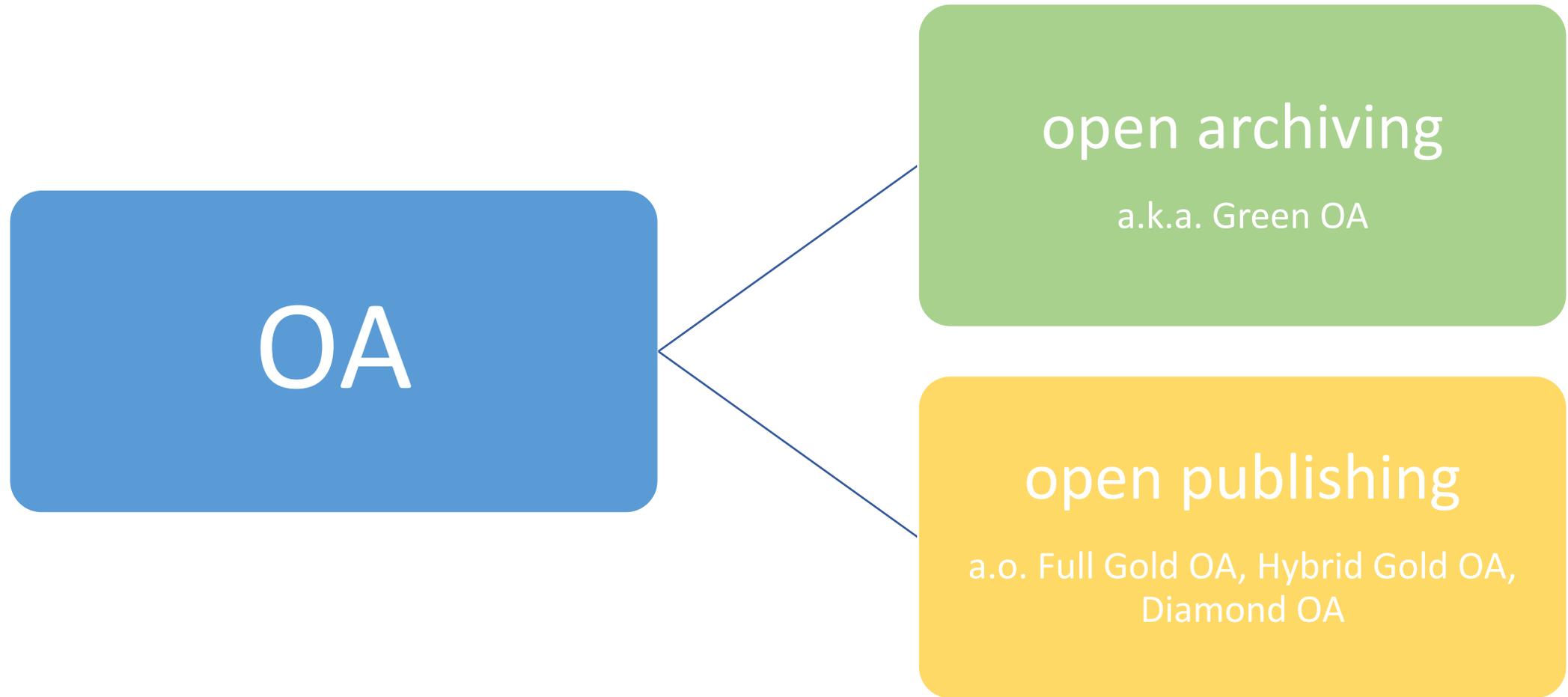


# different ways of achieving OA

1. for the good of research
2. worldwide access to research results, both inside and outside academia
3. financial reasons
4. take back control of scholarly communication

all forms of OA solve  
the problem of  
**accessibility**  
BUT not all solve the  
problem of **cost** or  
**control**

# types of OA



# types of OA

## **Open Archiving**

(a.k.a. Green OA)

author (self-)archives a digital copy of the work in a repository, and makes this copy available to the public for free

- infrastructure typically provided by non-profit institutions such as universities
- often embargo
- often not the final, published version

free for readers  
free for authors

## **Open Publishing**

(a.o. Full Gold OA , Hybrid Gold OA, Diamond OA)

author publishes work immediately in OA, making the published version of this work immediately available to the public for free

infrastructure provided

- either for-profit (profit-driven publication fees)
- or non-profit (cost-effective publication fees)

free for readers  
not always free for authors

# open archiving

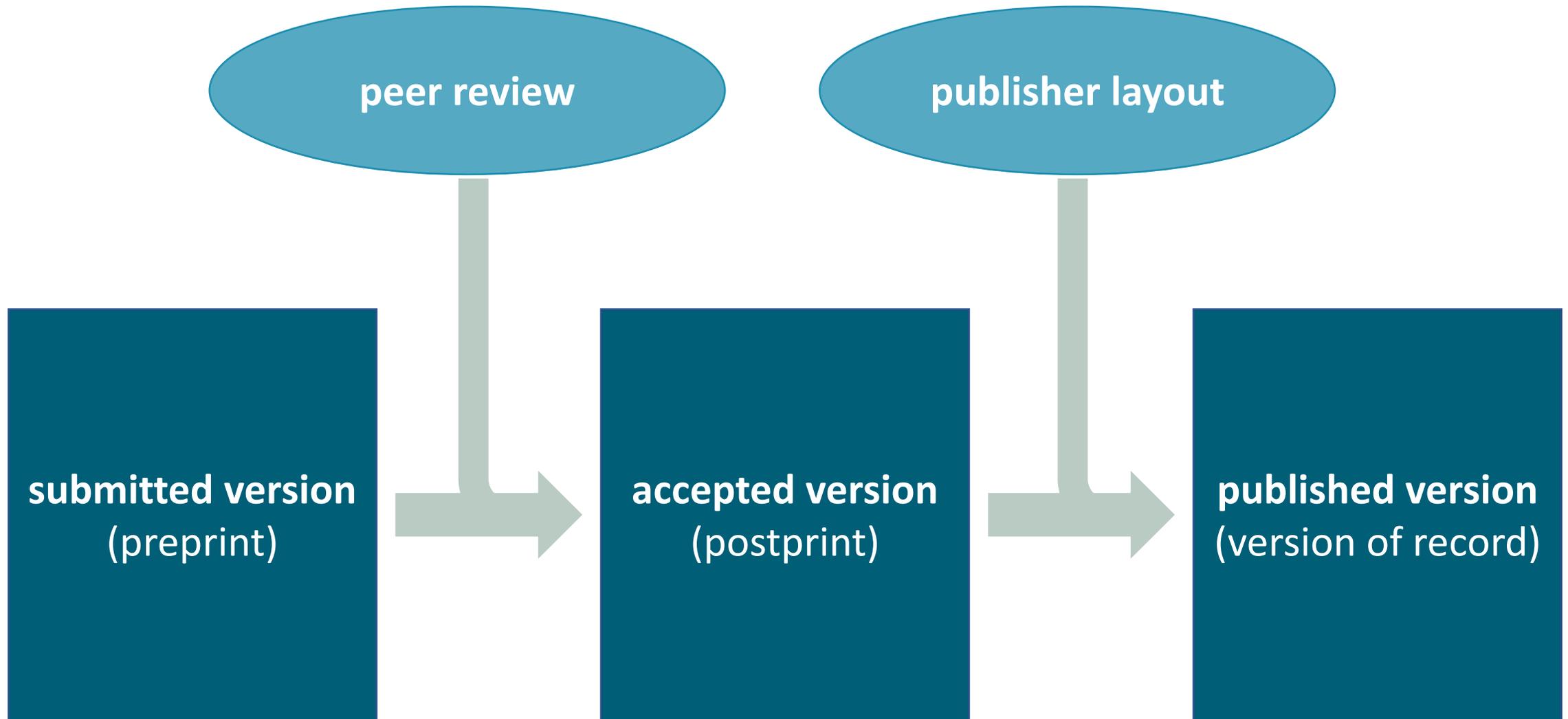
# open archiving

free for readers  
free for authors

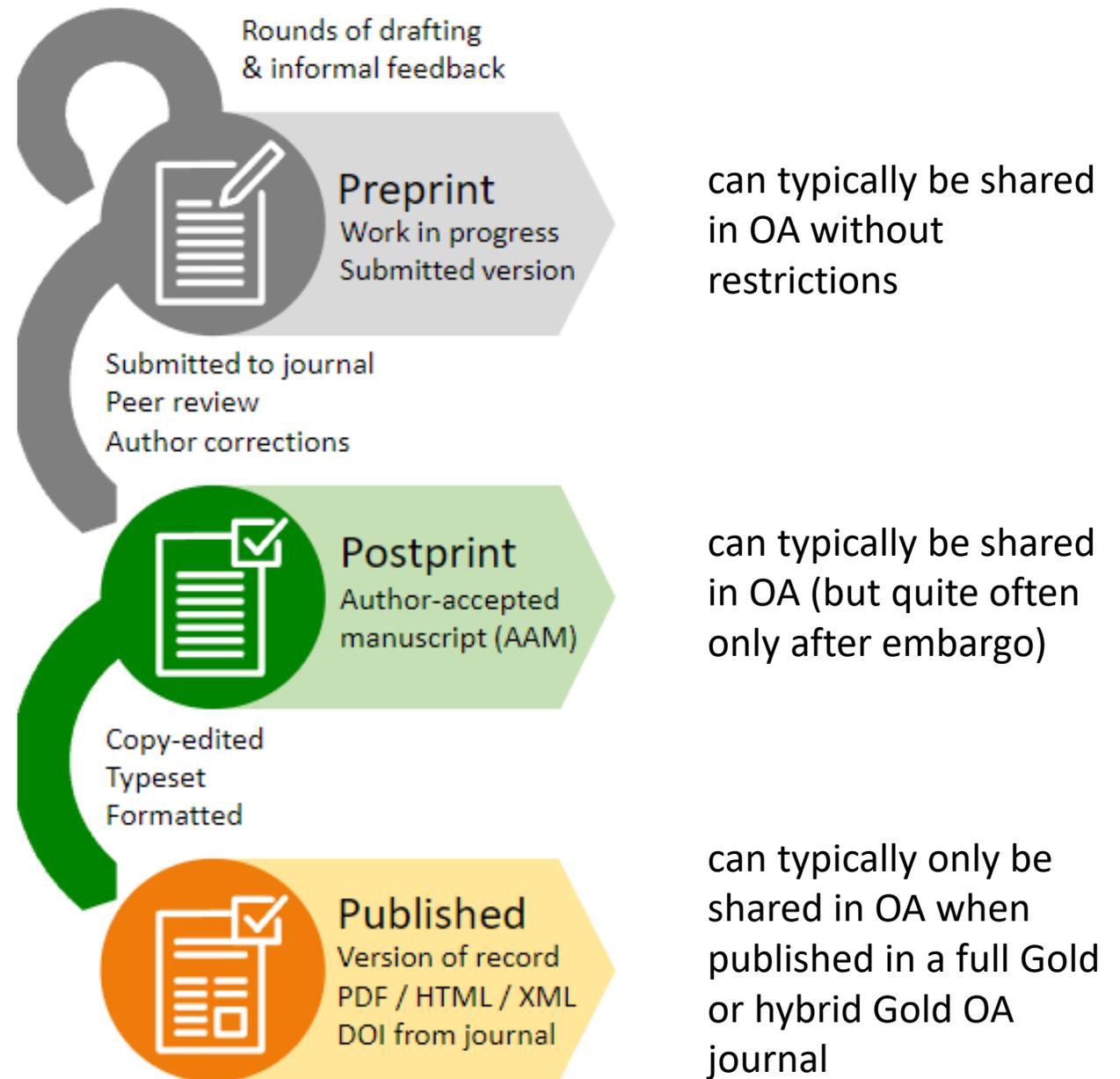
- often: archival version that is made available in OA is **not the commercial version**
- often: **embargo** (archival version is made available later than commercial version)

# open archiving: stages of a manuscript

| publication stage        | definition   | synonyms  |
|--------------------------|--|---|
| <b>submitted version</b> | manuscript <u>before peer review</u> (e.g. first version submitted for publication to journal)                       | preprint, work in progress, submitted manuscript, author's original draft, pre-refereed print |
| <b>accepted version</b>  | manuscript <u>after peer review</u> , accepted for publication   | postprint, accepted manuscript, AAM: author's accepted manuscript, post-refereed print        |
| <b>published version</b> | <u>final version</u> , after peer review and with complete and finalised publisher's layout (e.g. DOI, page numbers) | version of record, commercial version, publisher's version                                    |



# Which version can be shared in OA?



adapted from diagram by  
Thomas Shafee & Ginny  
Barbour,  
<https://commons.wikimedia.org/w/index.php?curid=87548648>

# example of open archiving: Belgian copyright legislation (since 2018)

## rights of the author:

- share accepted version of journal articles (**not** published versions and **not** other publication types such as books, book chapters, conference proceedings, etc.) in open access after an embargo of 6 months (STEM) or 12 months (HSS)  
can be shared both in institutional repository and on personal websites/social media/... > anywhere author wishes
- compelling: prevails over any agreement signed with a publisher
- retroactive: applies retroactively to older journal articles

# open archiving: black open access

black (a.k.a. illegal, rogue, guerilla) open access = distribution of scholarly research regardless of copyright law, so quite often illegal distribution of scholarly publications

e.g. scholars making their work available on Researchgate or Academia.edu, while they are not allowed to do this according to their author's contract

e.g. [Library Genesis](#) or [Sci-Hub](#): "the first pirate website in the world to provide mass and public access to tens of millions of research papers", willful copyright infringement, Sci-Hub provides access to scholarly literature via full text PDF downloads, coverage in some disciplines >90%

# rights retention

author does not transfer full copyright to the publisher

author (or university - depending on national copyright law and/or policy of specific universities) keeps all rights to the accepted manuscript

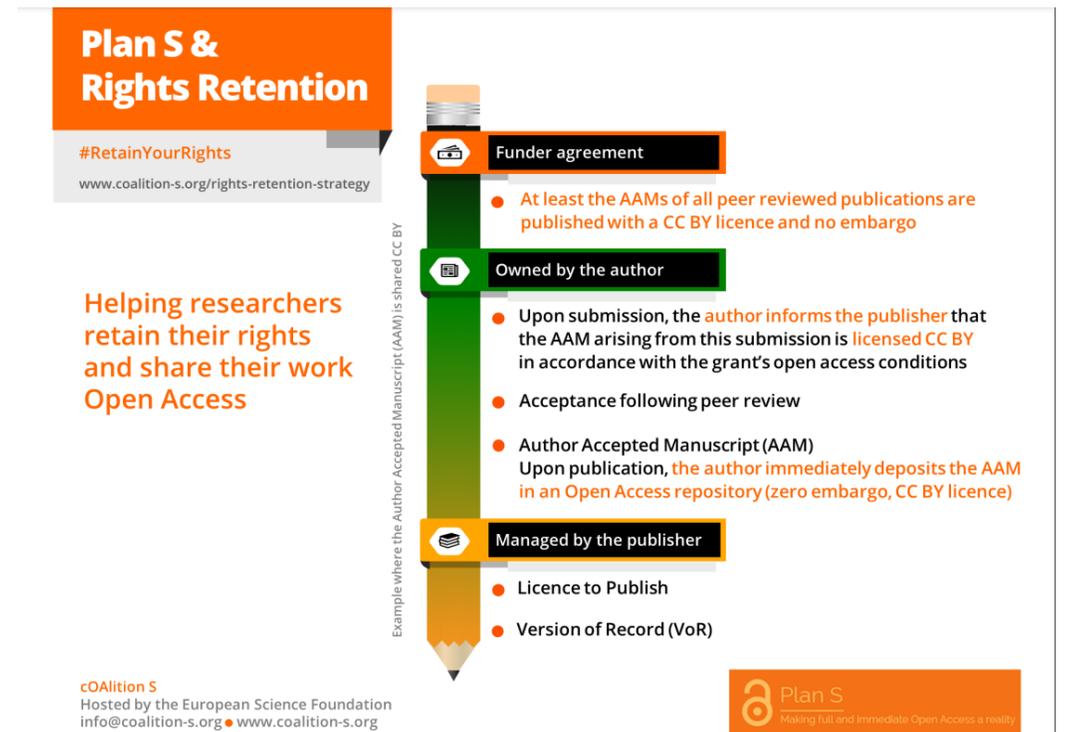
makes sense for open archiving as well as open publishing

makes sense for all publication types, but institutional and/or funder mandates typically only dictate rights retention for articles (sometimes including contributions to conference proceedings and book chapters)

# rights retention in the context of open archiving

published behind a paywall, but author/university maintains rights on accepted manuscript and shares it in OA through a repository without embargo

e.g. RRS in the context of Plan S  
authors include a rights retention statement in their submissions  
author/university disseminates the accepted manuscript without delay under a CC BY license via institutional repository



# rights retention in the context of open publishing

- *you* decide about potential reuse
- *you* decide about translations
- *you* decide about text and data mining

# cost of open publishing collective funding

# cost of OA

OA = free for readers, however OA  $\neq$  free

open archiving: establishing and maintaining institutional repositories cost money

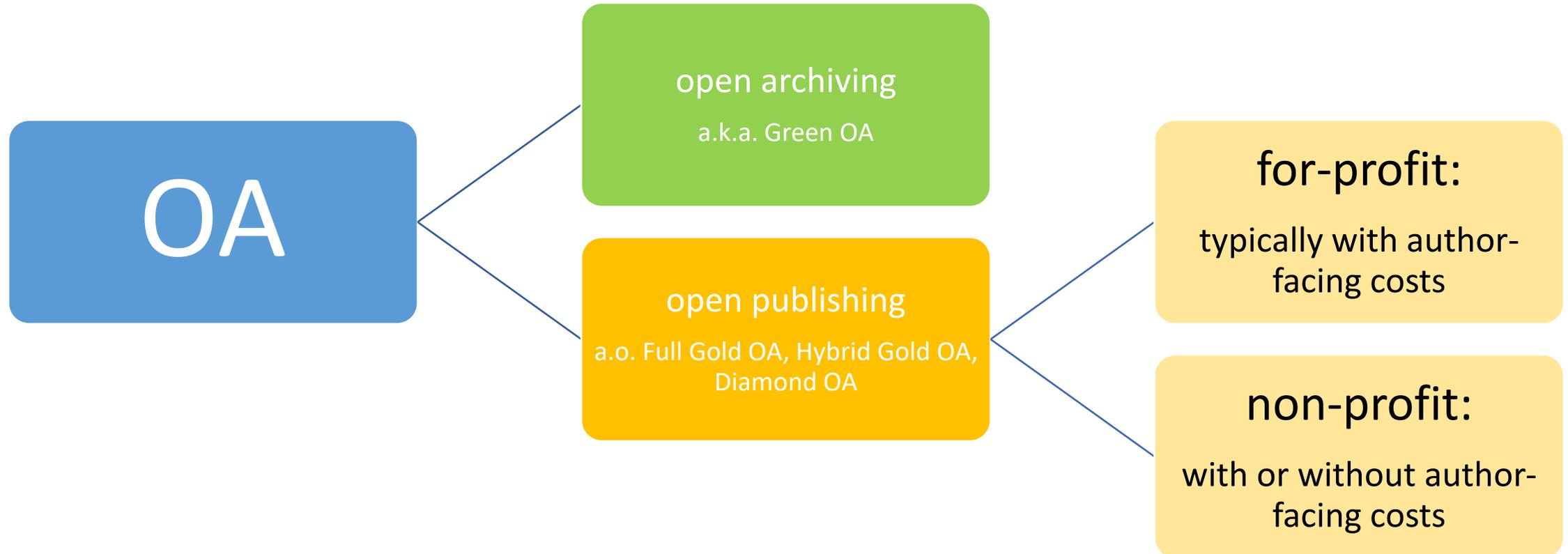
open publishing: producing a professional scholarly journal/book (even when it only has a digital output) costs money

with OA it is **not the consumer** who pays this cost (i.e. the reader or libraries buying the finished product )

**but the producer** (i.e. the author by paying an author fee)

**or a third party** (e.g. a consortium of university libraries paying for production costs rather than buying the finished product)

# types OA



# open publishing

free for readers  
not always free for authors

*you publish your article or book immediately in OA, making the published version of your work available to the public*

- for-profit author fees (most privately-owned publishers)
- non-profit author fees (typically university presses, scholar-led and/or library-based publishers)
- no author fees (publishing infrastructure is subsidized, typically through collective funding, so that neither authors nor readers need to pay)

# collective funding

costs of open publishing and open infrastructure are carried by a group of supporters (e.g. consortium of libraries)

costs are typically not calculated on the level of an individual article or book

equitable solution: does not exchange a barrier to reading with a barrier to publishing

e.g. Diamond OA made possible thanks to collective funding

# Open Library of Humanities

<https://www.openlibhums.org/>

Library Partnership Subsidy

Governance Roles



Library

\$

x100s

Small Sums



POWER TO  
THE LIBRARIAN  
POWER TO  
THE SCHOLAR  
POWER TO  
THE HUMANITIES

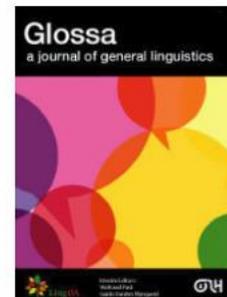
#EMPOWER



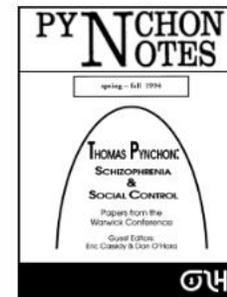
ASIANetwork Exchange



Francosphères



Glossa: a journal of general linguistics



Pynchon Notes



The Parish Review: Journal of Flann O'Brien Studies



Zeitschrift für Fantastikforschung

247 titles published

Over 4 million book interactions

Library Membership: 233 libraries have joined!

We are the leading independent Open Access publisher in the Humanities and Social Sciences in the UK: a not-for-profit Social Enterprise run by scholars who are committed to making high-quality research freely available to readers around the world. All our books are available to read online and download for free, with no Book Processing Charges (BPCs) for authors. We publish monographs and textbooks in all areas, offering the academic excellence of a traditional press combined with the speed, convenience and accessibility of digital publishing. We also publish bespoke [Series for Universities and Research Centers](#) and invite libraries to support Open Access publishing by joining our [Membership Programme](#).

Regarding the Costs of Publishing Your Book // punctum is one of the very few Open Access (OA) presses in the world that does not charge what are known as Book Processing Charges, because we feel they are inherently anti-democratic and exacerbate the historic inequities of academic publishing, yet they are fast becoming the standard protocol for Open Access publishing. If you are curious to know more about this, as well as about how much it costs to create an



Publishing with us is great for many reasons.

- **Open Access** - all books are published free of access to everybody, worldwide
- **No fees** - The publication of a book in Language Science Press is free of charge for both authors and readers
- **Retain copyright** - you retain copyright and are free to disseminate your article, make copies for any use, and/or deposit in any repository or archive you like.
- **Support the community** - by publishing your book with us you support the linguistic community and enable young scientists to read your work
- **Be read** - because our books are free to everybody, more people access the books and cite you.

## How does it work?



LYRASIS Open Access Community Investment Program (OACIP):  
<https://www.lyrasis.org/content/Pages/oacip.aspx>

Open Book Collective (OBC): <https://openbookcollective.org/>

Global Sustainability Coalition for Open Science Services (SCOSS): <https://scoss.org/>

# collective funding

for example: KU Leuven Fund for Fair OA

basically: library budget set aside to spend exclusively on non-profit and community-governed publishing infrastructure (e.g. Diamond OA programs)

inspired by the principles set out by the Fair Open Access Alliance

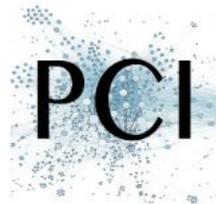
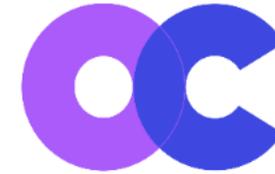
- transparent ownership structure
- controlled by the scholarly community
- copyright retention
- any fees charged are low, transparent, and in proportion to the work carried out

# examples: OA journals and publishers



currently support for 30+ mission-aligned OS publishers, infrastructures and initiatives

# examples: Open Scholarship infrastructure



currently support for 30+  
mission-aligned OS  
publishers, infrastructures  
and initiatives



# collective funding

## reverse investment priorities

all too often: investing in for-profit approaches to Open Science comes first, investing in other approaches only happens when there is money left over

should be: invest first in cost-effective approaches that respect the values and independence of researchers, and only then consider costly approaches that do not share scholarly values and erode academic freedom

in other words: stop being “wallets with a serious case of Stockholm Syndrom”

in other words: stop playing the victim and become an architect

rethink scholarly communication

# rethink scholarly communication

*“It is a delusion to regard the science journal as a reflection of current science research.*

...

*It would certainly seem undesirable if the distribution procedures of the electronic system are more or less direct equivalents of the present situation.”*

F. Wilfrid Lancaster (1978), 'Whither Libraries? Or, Wither Libraries', DOI: [10.5860/crl\\_39\\_05\\_345](https://doi.org/10.5860/crl_39_05_345)

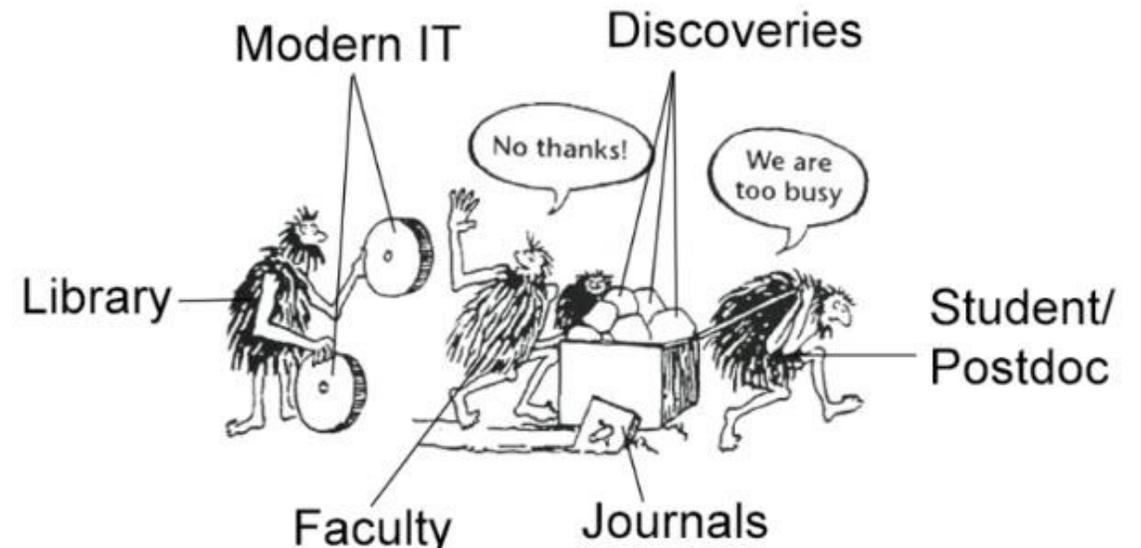
# rethink scholarly communication

are journals and books still the most efficient way to organize scholarly communication?

what if we de-couple scholarly communication from research evaluation?

what if we rethink the role of peer review as a factor in dissemination?

we can keep it as an instrument for quality control, but does it need to play such a central role (causing delays) in publication?



# first publish, then review

publish article on a preprint server; article is immediately available to everyone  
article is reviewed *after publication* (peer review process can be closed or open)

various possibilities

1. preprint does not progress any further
2. preprint is afterwards published in traditional journal (which may or may not re-do peer review process)
3. journals can be curated as collections of articles about a specific topic which have been published as preprints and have been flagged as particularly noteworthy by peer review

in other words:

articles are first published and then reviewed (and can be updated after that review)  
peer review does not delay dissemination

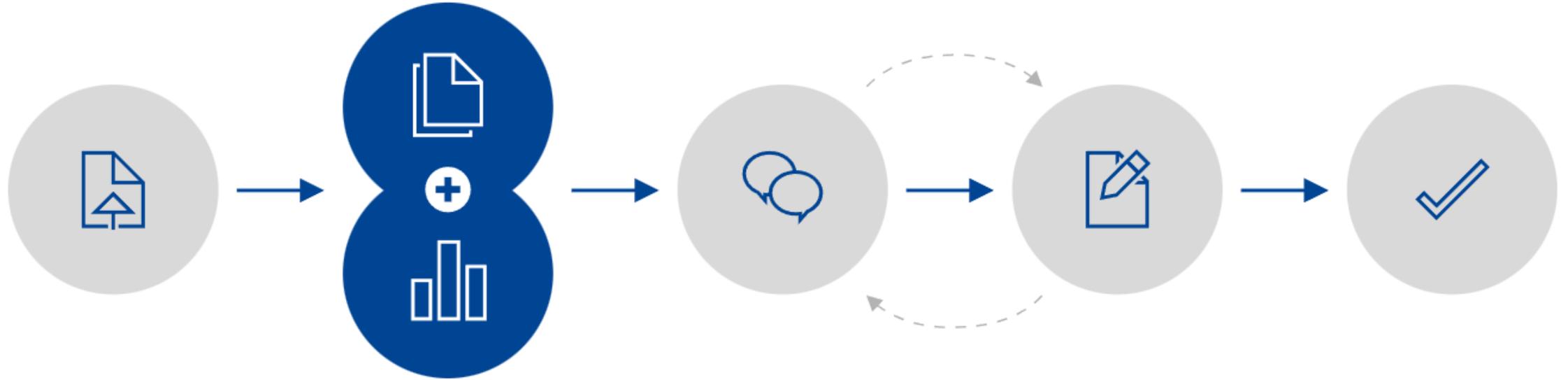
# first publish, then review: example



<https://open-research-europe.ec.europa.eu/>

OA publication platform for researchers with Horizon 2020,  
Horizon Europe or Euratom financing

no author fees, for all scholarly domains



### Article Submission

Submission is via a single-page submission system. The in-house editorial team carries out a comprehensive set of prepublication checks to ensure that all policies and ethical guidelines are adhered to.

### Publication & Data Deposition

Once the article has passed the prepublication checks, a fully typeset version is published with a DOI, enabling immediate viewing and citation, as well as indexing in Google Scholar. Once the article is published, it cannot be sent to another journal for publication.

### Open Peer Review & Article Revision

Expert reviewers are selected and invited, and their reviews and names are published alongside the article, together with the authors' responses and comments from registered users.

### Send to Indexers & Repositories

Authors are encouraged to publish revised versions of their article. All versions of an article are linked and independently citable. Articles that pass peer review are indexed in external databases such as PubMed, Scopus, and Google Scholar.

9 Views | 1 Downloads | 0 Citations

Cite | Download | Export | Share | Track

[Home](#) > [Articles](#) > [Investor demand in syndicated EFSF/ESM bond issuances](#)

RESEARCH ARTICLE 

# Investor demand in syndicated EFSF/ESM bond issuances [version 1; peer review: awaiting peer review]

Martin Hillebrand, Marko Mravljak, Peter Schwendner  

This article is included in COST Actions gateway



This article is included in Fintech and AI in Finance collection



**Article**

Authors

Metrics

## Abstract

European Financial Stability Facility (EFSF) and European Stability Mechanism (ESM) were set up at the peak of the European sovereign debt crisis to issue bonds and lend to countries under current funding stress. This study analyses investor demand in syndicated bond issuances of EFSF and ESM from 2014 to 2020 on an unprecedented granularity level using a

### Open Peer Review

**Approval Status**  
AWAITING PEER REVIEW

Comments on this article

[All Comments](#) (0)

**Sign in to comment**

**Sign up for content alerts**

Email address \*

**Sign Up**

190 Views | 23 Downloads | 0 Citations

Cite | Download | Export | Share | Track

[Home](#) > [Articles](#) > [Knowledge sharing and discovery across heterogeneous research ...](#)

SOFTWARE TOOLARTICLE 

**REVISED** Knowledge sharing and discovery across heterogeneous research infrastructures [version 3; peer review: 2 approved, 1 not approved]

Siamak Farshidi  , Xiaofeng Liao , Na Li, Doron Goldfarb, Barbara Magagna, Markus Stocker , Keith Jeffery , Peter Thijsse, Christian Pichot , Andreas Petzold , Zhiming Zhao  

This article is included in [Cloud-based Technologies](#) collection 

This article is included in [Data Science](#) gateway 

This article is included in [Research Infrastructures](#) gateway 

Article

Authors

Metrics

### Open Peer Review

Approval Status    

|   | 1  | 2   | 3  |
|---|--|---|--|
| <b>Version 3</b><br>(Revision)<br>06 Jun 23 |  |   | <br><a href="#">view</a>  |
| <b>Version 2</b><br>(Revision)<br>22 Nov 21 | <br><a href="#">view</a>  |   | <br><br><a href="#">view</a> |
| <b>Version 1</b><br>14 Jun 21               | <br><br><a href="#">view</a> | <br><a href="#">view</a> |  |

1. **Robert Huber** , Swiss Federal Institutes of Technology Zurich ETHZ, Zürich, Switzerland
2. **Rebecca Koskela** , University of New Mexico, Albuquerque, NM, USA; Ronin Institute, Montclair, NJ, USA
3. **Giacomo Marzi** , University of Trieste, Trieste, Italy

OPEN LETTER

# REVISED ENISA: 5G design and architecture of global mobile networks; threats, risks, vulnerabilities; cybersecurity considerations [version 3; peer review: 3 approved]

R. Andrew Paskauskas

This article is included in [Digital Security](#) collection

This article is included in [Horizon 2020](#) gateway

This article is included in [Wireless Communications](#) collection

Article

Authors

Metrics

## Abstract

*Abstract* —The literature on 5G design and architecture numbers in the hundreds of thousands, which makes analyzing this

### Open Peer Review

Approval Status

|   | 1                        | 2                        | 3                        |
|---|--------------------------|--------------------------|--------------------------|
| <b>Version 3</b><br>(Revision)<br>24 May 23 |                          | <br><a href="#">view</a> |                          |
| <b>Version 2</b><br>(Revision)<br>29 Mar 23 |                          |                          | <br><a href="#">view</a> |
| <b>Version 1</b><br>22 Nov 22               | <br><a href="#">view</a> | <br><a href="#">view</a> |                          |

- Marina Settembre** , Fondazione Ugo Bordoni, Rome, Italy
- Geir M. Køien** , University of South-Eastern Norway, Horten, Norway  
**Shahzana Liaqat**, University of South-Eastern Norway, Horten, Norway
- Franco Callegati** , University of Bologna, Bologna, Italy

# innovative publication platforms

a public infrastructure to publish all kinds of academic output – in all stages of the research process – in open access, while preserving academic quality and integrity

non-profit and community-governed to ensure sustainability and digital sovereignty of universities and other academic institutions

e.g. recommendations of the Public Infrastructure Taskforce (PIT) of the League of European Research Universities (LERU)

## Five main characteristics of an open and public infrastructure as proposed by the PIT

1. The infrastructure landscape is not-for-profit and is led and controlled by the academic community. Appropriate governance and oversight are ensured.
2. Public infrastructure is supported by public funding (e.g., through funders, universities or directly from governments). Authors do not pay to publish, and readers do not pay to get access.
3. Establishing, sustaining, and operating the infrastructure is ensured by cooperative working models. Within such a working model, universities are responsible for administrative and academic quality assurance.
4. Different research cultures generating and disseminating knowledge in their respective disciplines are recognised and respected. Differences in terms of publication outputs, standards and metrics are reflected and accommodated.
5. Bibliometric indicators for research outputs should be used responsibly. They should be complimented by qualitative assessments, which are preferably generated by research communities themselves.

# innovative publication platforms

PubPub: the open-source, community-led, end-to-end publishing platform for knowledge communities

PubPub supports over 3000 communities, from peer-reviewed scholarly journals and books to novel community publishing experiments, and everything in between.

These communities are created and maintained by university presses, society publishers, library publishers, independent scholar-led publishers, academic departments, research labs, ad-hoc communities, individuals, and many others.

PubPub provides infrastructure for each part of the publishing process, from drafting documents, conducting peer review, and hosting entire journal and book websites to collecting and displaying reader feedback and analytics.



<https://www.pubpub.org/>

# KU Leuven Open Science Day



[HOME](#) [PROCEEDINGS 2023](#) [PAST PROCEEDINGS](#) [COLOPHON](#)



The KU Leuven Open Science Day is an annual event where KU Leuven researchers from all career stages share knowledge and exchange examples of how they implement Open Science principles in their research. It offers a platform where researchers can inspire, learn from each other, and discover how their research can benefit from these principles. The proceedings offer a record of the presentations, panel sessions, and posters, which demonstrate how KU Leuven researchers embed Open Science practices during the different stages of their research.

The KU Leuven Open Science Day is organized by KU Leuven Libraries in collaboration with the Research Coordination Office and the Information & Communication Technology & Systems Office (ICTS) and under the auspices of the [KU Leuven Open Science task force](#).



# main take-aways

- be aware that there are various types of OA
- be aware that there are various business models to finance OA
- all types solve the problem of accessibility, but only open archiving and non-profit open publishing also solve the problem of cost and (often) control
  
- be aware that for-profit open publishing is very expensive
- be aware that for-profit open publishing maintains the current power balance in scholarly publishing
- be aware that there are non-profit open publishing alternatives (both traditional – journals and books – and innovative)
- at the very least share your work by using open archiving



**Franklin (🍷\_🍷) Sayre**  
@fdsayre

Follow



\*\*\*whispers\*\*\* all of scholarly communication is a social construct. it's just implicit understandings between scholars about what counts as legitimate. there's no reason we can't build a better, more open, system.

**Martin Paul Eve** @martin\_eve

Elsevier launches new open-access Social Sciences & Humanities (yes, that's right, all of them) journal. Just \$500 to submit on an initial discount. Or you could come to @openlibhums instead where it's OA, free to publish, and we have more than 1 person on the editorial board.

5:07 PM - 12 Feb 2019

44 Retweets 128 Likes



7 44 128