Open Access Survey at ETH Zurich: Information Event

Prof. Ulrich Weidmann, Dr Rafael Ball, Dr Arlette Piguet

30.01.2017, 12.00 – 13:00 (Hönggerberg) / 17:00 – 18:00 (ETH Zentrum)
# Overview

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<td>Prof. Ulrich Weidmann, Vice President Human Resources and Infrastructure</td>
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<td>3. What is Open Access? Current situation and trends in scholarly publishing, impact for ETH Zurich</td>
<td>Dr Rafael Ball, Director ETH Library</td>
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<td>4. Open Access survey: objectives, brief introduction</td>
<td>Dr Arlette Piguet, ETH Library</td>
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<td>5. Questions and answers</td>
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Open Access in a broader context

Prof. Ulrich Weidmann,
Vice President Human Resources and Infrastructure
Open Access as element of Open Science

Open Science represents a **new approach to the scientific process** based on cooperative work and new ways of diffusing knowledge by using digital technologies and new collaborative tools (European Commission, 2016b:33)

Open Access from SNSF perspective
Expected benefits of Open Science/Open Access to further parties

- **Researchers**
  - Visibility
  - Credits
  - Funding
  - Networking

- **Research teams**
  - Visibility
  - Funding
  - Cost-effectiveness
  - Networking

- **Organisations**
  - Funding
  - Quality
  - Cost-effectiveness

- **Decision-makers and financiers**
  - Decisions based on better information
  - Increased impact of funding

- **The general public**
  - Increased understanding and expertise
  - Increased opportunities to have an influence

- **National level**
  - The promotion of human rights and democracy
  - Decisions based on research data

...but many open questions, too:

- Willingness of Researchers to share data and ideas
- Financing of Open Access publications
- Review Procedures
- Many more...

Source: [What is Open Science? Introduction](https://www.foster.ac.uk/open-science/), Foster, Jan. 2017
Open Access survey at ETH Zurich: background information

Starting the discussion about Open Science

**National Open Access strategy of swissuniversities**

- Definition of an implementation plan for ETH Zurich

**Activities at ETH Zurich:**
- Broader strategic and political discussion about Open Access
- Agree common strategy within ETH Zurich Scientists
- Improve Open Access services
- ...

**Objectives of the survey at ETH Zurich:**
- Widespread information about Open Access
- Find out attitudes, experiences and expectations among ETH Zurich Scientists
- Launch a broader discussion
- Start implementation strategy
What is Open Access?

Current situation and trends in scholarly publishing

Impact for ETH Zurich

Dr Rafael Ball, Director ETH Library
One Reason for OA: Serials Crisis


- Serials 138%
- All library material 80%
- Total library costs 30%

[Datenquelle: Gibson Hilton (2016): "An introduction to the preservation of the scholarly communication record by academic libraries"]
Brief history

- **Budapest Open Access Initiative** (Feb 2002)
  - Unrestricted online access to scholarly journal literature in all academic fields.

- **Bethesda Statement on Open Access Publishing** (Apr. 2003)
  - Importance of disseminating scientific research results quickly and efficiently
  - Share research results, ideas, and discoveries freely with scientific community/public.

- **Berlin Declaration on Open Access** (Oct. 2003)
  - Inaugural signatories: Leading European and American research funders / universities
  - Encouraging researchers to provide OA to their research results

- **Lyon Declaration** (Aug. 2014)
  - Advocacy document to positively influence the content of the United Nations post-2015 development agenda
What is Open Access?

«Open access [...] literature is digital, online, free of charge, and free of most copyright and licensing restrictions.»

[Peter Suber, 2012]

- Objective: To provide unrestricted and free access to scientific literature (via the Internet) and to reduce usage barriers.

- Idea: Shifting payment from usage to payment for production of scientific publications (Article Processing Charge APC)
Implementation of OA

Green Road vs. Golden Road

Free access to already conventionally published content

For example via
- Institutional Repositories
- Disciplinary Repositories
- Multidisciplinary Repositories
- Academic Networking Sites

Primary publication in Open Access media

e.g. Various Open Access Journals

- frontiers
- Wiley Open Access
- SpringerOpen
Traditional Publication Cycle

Author/Scientist (as producer) — Author/Scientist (as recipient)

Publisher — Library

Bookseller / Library Supplier Agency
Traditional Publication Cycle

Author/Scientist (as producer)

Published by taxpayer

Author/Scientist (as recipient)

Library

Paid by taxpayer

Publisher

layout, copyediting

distribution

Bookseller / Library Supplier Agency

selection & acquisition

delivery

peer review
Financial flows
Traditional

Author = Scientist

Provides publisher with his results free of charge

Receives no fee, possibly pays publication charges

All the authors’ rights are transferred to the publisher

Sale of journals to publicly funded libraries

Production costs of the publishing house

Peer review by publicly funded scientists

Taxes

In public employment

Uses infrastructure / resources of the employer

Taxes

Author = Scientist

Taxes

S.jpg
Financial flows
APC / Open Access

Author = Scientist

In public employment

Taxes

Uses infrastructure / resources of the employer

Provides publisher with his results and has to pay

Author pays APCs

Taxes

Information Free Available OPEN ACCESS

Production costs of the publishing house

Taxes

Peer review by publicly funded scientists

All the authors' rights remain with the authors

Taxes

Receives no fee, possibly pays publication charges
## The Consequences of OA
Gold Open Access: Costs and Impact Factor

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<th>Journal</th>
<th>Price</th>
<th>Impact Factor 2015</th>
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<tbody>
<tr>
<td>Journal of Cloud Computing</td>
<td>$ 800</td>
<td>-</td>
</tr>
<tr>
<td>New Journal of Physics</td>
<td>$ 1'760</td>
<td>3.570</td>
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<tr>
<td>PLOS Biology</td>
<td>$ 2'900</td>
<td>8.668</td>
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<tr>
<td>Nature Communications</td>
<td>$ 5'200</td>
<td>11.329</td>
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Average price per article (APC) $ 1’600 – $ 2’700
A few numbers….

WORLDWIDE

- 750 OA policies worldwide. 75% outside the USA
- I.e. Gold OA Publications at Royal Chemical Society:
  - Germany: 56%
  - UK: 48%
  - CH: 30%
  - USA: 8%

- ETH Zurich`s subscriptions account for 15 % of all journals subscribed to in CH

AT ETH ZURICH

All articles published by ETH researchers 2015
- Wiley, Elsevier and Springer 46%
- Other Journals

Articles by ETH researchers in 2015: Golden Road vs. traditionally published
- published traditionally 13%
- published via golden road
Publishing at ETH Zurich

- **Open Access policy** at ETH Zürich (adopted 2008):
  - ETH Zurich staff are required to publish in institutional repository
  - ETH Zurich researchers are encouraged to publish open access
  - ETH Zurich covers part of the publication costs

- **Funding OA**: Article processing charges
  - Swiss National Science Foundation
  - European Commission
Open Access in Switzerland

- 43% of research institutions in Switzerland have an Open Access policy today
- National Open Access Strategy (SERI, SNSF and «swissuniversites»)

**Core statements** of the Strategy:

- By 2024, all academic papers in Switzerland should be OA, all scholarly publications funded by public money must be freely accessible on the internet.
- The OA landscape will consist of a mix of Open Access models: Gold OA, Green OA, Hybrid OA
... The story goes on...

... It just has begun...
Open Access survey: objectives, brief introduction

Dr Arlette Piguet, ETH Library
Objectives of the survey at ETH Zurich:
- Widespread information about Open Access
- Find out attitudes, experiences and expectations among ETH Zurich Scientists
- Launch a broader discussion
- Start implementation strategy

The survey is conducted by ETH Library on behalf of the Executive Board

Methodology
- Online survey among the whole scientific staff at ETH Zurich
- Distribution of the questionnaire: www.iafob.ch
- Survey period: February 01 – 24
- About 15 minutes for completing the questionnaire
A) Publication of academic results and your own publication behaviour

B) Open Access services of ETH Library

C) Open Access publishing

D) Future dealing with Open Access journals at ETH Zurich
A) Publication of academic results and your own publication behaviour

- How important are the following factors for you when you submit your research paper to a publishing house (or any other publisher) for publication?
  - Impact factor
  - Publishing pre-print / post-print
  - No publication fees
  - ...

- To what extent do you agree to the following statements?
  - Publishers provide key services
  - Universities ought to offer more support on publishing research results
  - I would be prepared to do without access to certain high priced journals
  - ...

B) Open Access services of ETH Library

- Which of the following Open Access services are you aware of?
  - ETH E-Collection (document server)
  - Funding of APCs by ETH Library in selected Open Access Journals
  - ...

- How satisfied are you with the ETH Library services you have used so far?

- In case of dissatisfaction: what are the reasons?
  - I have never been informed about Open Access
  - The information is difficult to find
  - ...

B) Open Access services of ETH Library (contd.)

- Are you aware of ETH Zurich’s Open Access Policy?

- How important are the following aspects of an Open Access Policy for you?
  - Continued free choice of publication medium
  - I can retain my author’s exploitation rights
  - The policy should generally be compulsory
C) Open Access publishing

- Which of the following Open Access publication options have you used to publish research results in the past 12 months?
  - Open Access journal / hybrid journal / ETH E-Collection / private website / ETH Zurich website / Subject-specific document server …

- I have used an Open Access publication option because it was…
  - required by the Swiss National Science Foundation (SNSF; mandate)
  - recommended by ETH Zurich’s Open Access policy / by co-authors…
  - already practised successfully by my colleagues
  - …
C) Open Access publishing (contd.)

- How were the costs of the Open Access journal paper(s) you have published in the past 12 months funded?
  - From my research group’s budget
  - By ETH Library
  - ...

- How much money have you spent in total in the past 12 months on publishing Open Access works?

- How much have you spent in the past 12 months for page charges, colour illustrations, etc., in connection with publications in subscription journals (NOT Open Access)
D) Future dealing with Open Access journals at ETH Zurich

- How would you rate a complete transformation of academic publishing from the subscription-based model to Open Access?

- What are your expectations, needs or comments regarding Open Access at ETH Zurich?

Thank you for your valuable contribution!
## Next steps in 2017 following the survey

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<th>Date</th>
<th>Action</th>
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<tr>
<td>March 29th</td>
<td>First presentation of the results at the Conference of the Heads of Departement (DVK)</td>
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<td>April</td>
<td>Email with the most important results to the scientific staff</td>
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<td>Mai / June</td>
<td>Publication of the final report via various information channels (ETH Library, ETH Zurich, Switzerland)</td>
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<td>3 / 4 July</td>
<td>Strategic discussion of the results, defining further steps at the retreat of the Executive Board</td>
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<td>Second half of the year</td>
<td>Additional work for continuing the discussion (events, workshops etc.)</td>
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<td>2018</td>
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Questions & Answers

More information about Open Access:
www.library.ethz.ch/openaccess