

8th UNICA Scholarly Communication Seminar

The transition to Open Access:
strategies and impacts

Biographies & Abstracts

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Opening by Jeannette FREY, Director of Bibliothèque Cantonale et Universitaire Lausanne

Jeannette Frey was born April 13, 1962 in Kirchberg, BE, Switzerland. First studied Ancient History, Archaeology and Egyptology at University of Fribourg, Switzerland, then worked in the field of academic publishing at Redaction LIMC (Lexicon Iconographicum Mythologiae Classicae) in Basel. 1992, change to the Swiss national museum in Zurich as Head of Photographic Collection. First experiences in digitization of photographic collections in the years 1992-1998. 1998, change for heading the Federal Archive for Historic Monuments in Bern, where other projects for digitization of photographic collection take place. After 2002, works in private sector as Head of Information & Communication, studying in parallel Computer Science and Mathematics at University of Fribourg. 2004, changes to be the Head of Periodicals and Electronic Resources at BCU Lausanne. Director of BCU Lausanne since 2008. Main projects 2016: extension of the main building of the university library, implementation of new ILS for the Renouvaud network of libraries of canton de Vaud (120 libraries). Vice-President of LIBER, and member of the Board of EUROPEANA since 2014.



Session 1: Initiatives for new publication models

Chair: Françoise Vandooren, Research Support at Library of Université libre de Bruxelles

Françoise Vandooren holds a position of Research Support at the Library of Université Libre de Bruxelles, where she works at the Library's Head Office since 1999. She has a Master Degree in Linguistics and worked as a researcher in computational linguistics in the past. She has participated in various European R&D projects and she currently deals with digitization activities, digital library management, institutional repository and open access issues. She has been involved in the Open Access Working Group of the European University Association and initiated the Scholarly Communication Group in UNICA. She has also served as an independent expert in the evaluation of EU projects for the 7th Framework Programme. She is co-author of the Study on the economic and technical evolution of the scientific publication markets in Europe, published by the European Commission in 2006. Her recent publications include « Evolution de l'accès aux publications scientifiques » (J. Schöpfel, La publication scientifique - analyses et perspectives, Hermes Science Publications & Lavoisier,



2008) and "When publishers' and libraries' interests meet" (with C. Gass, in *Learned Publishing*, July 2008)

EC open science strategy and initiatives by Daniel SPICHTINGER, Senior Policy and Project Officer for Open Access at DG Research and Innovation, European Commission

Daniel Spichtinger obtained a joint "Magister" (Mag.phil) degree from the University of Vienna (Austria) in English, Communication Science and History (2000), writing his thesis about the global spread of English. He also obtained a Master of Arts in Contemporary European Studies from the University of Bath (UK, 2002), where he first encountered European research policy and tackled the issue of involving civil society in FP6. After several internships in European umbrella NGOs and a stint as online editor for two Austrian newspapers he has been working on EU funded projects since 2005, in the areas of eHealth, ICT, SME support and the knowledge based bio-economy, in particular the MoniQA Network of Excellence (FP6). Within these projects he has developed policy related actions and communication activities with the aim of ensuring the concrete applicability of scientific results in the policy sphere and enabling the interaction with all stakeholders, including the citizens. He has also been involved in the preparation of a significant number of EU grant proposals.



Since 2012 Daniel Spichtinger has been employed by the European Commission as a project and policy officer for open access to scientific peer-reviewed publications and research data. In this capacity he contributes to the development of open access policies in Horizon 2020, including for instance the design and implementation of the Open Access to Research Data Pilot in Horizon 2020. He also interacts with the Member States (e.g. through ERAC) and all relevant external stakeholders, providing presentations and trainings as well as managing projects in this area.

Enhanced publications exploit the potential of digital media by Prof. Dr. Andreas DEGWITZ, Humboldt-Universität zu Berlin, Germany

Scholarly communication is changing fundamentally and quite rapidly by the new media and tools, which are intensively used in the web-based collaboration and working environments of many disciplines. This development is making headway due to increasing data-intensive research activities and may also be noticed in subject areas like the humanities where data based approaches are completely new and driven forth by the quickly emergent technologies.

Enhanced and interactive publications of research results are reducing the importance of the “traditional text features” of scholarly communication. Because the publications are likely to turn into objects now which might be enhanced by the integration of different contents like annotations, data sets, digitised materials, linked data, audios, images, simulations, videos, etc. The proceeding convergence of data, media and tools combined with the services attached requires coordinated interactions of several players, which are not confined to single institutions any more. What causes or constitutes these changes? What are the new roles and tasks of authors, libraries, publishers and further players in concern of the publication process? The presentation will outline new challenges and requirements to improve scholarly communication considering the results of the project [“Future Publications in the Humanities” \(Fu-PusH\)](#), which has been granted by the German Research Society.

Prof. Dr. Andreas DEGKWITZ (born 1956) is the Chief Librarian of the Humboldt University of Berlin and Honorary Professor for information science of Potsdam University for Applied Sciences. 2004-2011 he was the Chief-Information-Officer of the Brandenburg Technical University of Cottbus. 1998-2003 he was the deputy-director of the library of Potsdam University. 1991-1998 he worked as a consultant for library affairs at the German Research Society.



Beyond Open Access: leveraging technology in publishing by Mirjam Curno, Editorial Director at Frontiers

With the advent of open access publishing came a surge in innovation in peer review, research dissemination and networking. Frontiers, an open access publisher, has been driving innovative solutions to address many of the challenges we face today in publishing for the last 10 years. How can we deal with the volume of articles? How can we break down traditional academic boundaries? How can peer review be more transparent and constructive? Open Access is not just about making articles freely available, but also about disseminating knowledge, building upon the research advances made and credit the people behind the work.

Dr. Mirjam Curno completed a PhD in molecular oncology at the University of Dundee in Scotland in 2006, and then moved to the University of Lausanne, Switzerland as a postdoctoral fellow to work on viral immunity. From 2010 to 2013, Mirjam was the Managing Editor of the Journal of the International AIDS Society, where she also organised workshops on scientific writing supervised by the Conference Abstract Mentor Programme run by the society. She

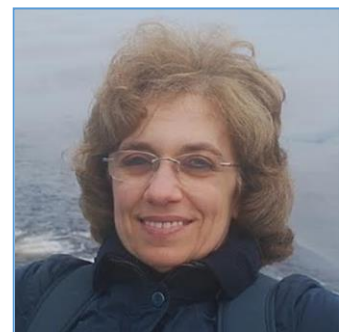


joined *Frontiers*, an open access publisher, in 2014 and as Editorial Director oversees the operations of the Editorial Office, including journal development and peer review.

The LingOA initiative: a new model for scientific publishing by Sónia FROTA, Associate Professor at the Department of Linguistics at Universidade de Lisboa, Portugal

The LingOA initiative, launched by the LingOA non-profit foundation, provides a model for gold & fair open access (OA) in scientific publishing which is (i) centered on researchers, (ii) based on strong collaboration between researchers, University libraries and Publication Service Providers (PSPs), and (iii) production cost based (i.e. academic-led institutions/University libraries and consortia pay for low and transparent article processing charges – APCs). In this model for flipping subscription journals to OA, LingOA financial guarantees APCs during a transition phase, through a dedicated fund, without author-facing charges. Journal ownership remains with editorial boards/learned societies, and copyright with the authors. Crucially, researchers and academic-led institutions are the main actors not only in the production but also in the publication of science. Gold & fair open access boosts research impact beyond traditional metrics, fostering a faster and better science against barriers driven by income inequality, and for science availability, feedback, replication and re-use, thus nursing the emergence of new findings and tools. In a nutshell, the benefits are for all, academics and society, with economic resources used more efficiently. Long term sustainability of the model is ensured by an academic-led, non-profit and internationally supported library consortium, such as Open Library of Humanities, that with its worldwide contributing libraries redirects funds from subscriptions to OA. Importantly, the model is discipline-based, and LingOA has paved the way for similar organizations in other fields, like MathOA which closely follows the structure set up by the LingOA initiative. This gold & fair OA model is a solid contribution to EC open science policy through an innovative, proven, and cost-effective approach to Open Access.

Sónia Frota is a Linguist and Psycholinguist at the Department of Linguistics, Faculdade de Letras da Universidade de Lisboa (FLUL). Director of the Phonetics Laboratory and of the Lisbon Baby Lab. Editor-in-chief of *Journal of Portuguese Linguistics*, a Journal participating in LingOA, and associate editor of *Phonetica*. She has published in Oxford University Press, Mouton, John Benjamins, Springer, Routledge, and in major peer-reviewed journals like *First Language*, *Infancy*, *Journal of Autism and Developmental Disorders*, *Journal of Memory and Language*, *Language and Speech*, *Language, Learning and*



Development, Laboratory Phonology, Journal of Historical Linguistics, Speech Communication, Studia Linguistica.

Her research focuses include Prosody in language, its role in language acquisition and in defining early markers of language impairment (Universidade de Lisboa scientific award for Language Sciences, 2015).

Member of the board of LingOA Foundation, supporter of OLH (which the FLUL's library as recently joined).

Knowledge Unlatched – Open Access for the Humanities and Social Sciences by Sven FUND, Managing Director at Knowledge Unlatched and Lecturer at Humboldt-Universität zu Berlin, Germany

Open Access has had a rather difficult start in the humanities and social sciences. This is due to external factors like lack of financial resources as well as publishing habits in the field, most of all the prevailing dominance of monographs. Knowledge Unlatched (KU) is an initiative that successfully adapted OA requirements to this set of conditions. So far, it focused on monographs and managed to scale its presence to over 400 titles to be made available in Open Access. KU is a community approach that unites the efforts of over 300 libraries worldwide and more than 40 publishers. In its next phase ahead, Knowledge Unlatched will also cover journals, and will focus more on providing vital services to the publishers and libraries involved.

Sven FUND was born September, 1973. He studied International Relations, History, Communication in Muenster, Berlin, and St. Louis from 1993 until 2000. He received the Master of Arts from Washington University in St. Louis in 1996, and a PhD in International Relations in 2000 from Muenster University. As Senior Consultant Corporate Development he worked at the Bertelsmann AG 2000-2003 and was Head of Point of Sale-Activities, Der Club Bertelsmann, 2003-2004. From 2004 until 2008 he was Managing Director Birkhäuser Verlag AG, Basel, and from 2006-2008 Managing Director SpringerWienNewYork, Vienna. He was Member of the Executive Board, Springer Science+Business Media (now SpringerNature) in 2007 and 2008. From 2008 until 2015, he was Managing Director of De Gruyter, Berlin.



In 2015, Sven founded fullstopp, a consulting and investment agency specializing on scholarly publishing as well as institutions in the educational space. Sven invests in and/or manages companies such as Sample of Science, Knowledge Unlatched or Inkitt.com. Sven is a lecturer at

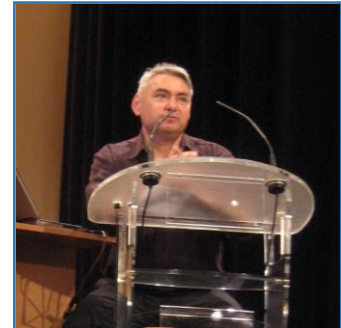
Humboldt University and publishes on Open Access as well as the digital transformation of the publishing industry.

Session 2: Strategic OA business models

Economics of the scientific publication market by Michel VAJOU, Consultant at EPRIST in France

Michel Vajou is the founder of the Cabinet of MV Conseil. Mr. Vajou is a consultant and follows national and international professional information industry. He is also the editor of *La dépêche du GFII*.

Since January 2015, Vajou is the head of the Scientific, Technical and Medical Information Department of CNRS (DIST / CNRS), alongside Renaud Fabre, Director of DIST and his team.



The Dutch Approach by Maria A. M. HEIJNE, Library Director at University of Amsterdam, The Netherlands

The Netherlands may be a small country, but it has an excellent scientific sector and a good ICT infrastructure. It is therefore in a strong position to make an important step in the field of open access.

Dutch universities have the same objective as that set by our State Secretary of the Ministry of Education, Culture and Science: make 60% of publicly funded research open access from 2018, and 100% open access from 2024. The universities are convinced that open access is a realistic proposition for publishers as the current situation, where publicly funded research is not openly accessible, simply cannot continue.

Dutch universities are making serious efforts towards the necessary transition to open access. Amongst other measures, this requires negotiations with the various publishers on the issue of subscription renewal. Universities negotiated for many years Big Deals with the major publishing houses. Now they want these negotiations to yield specific agreements with publishers on the transition to open access and expect publishers to make a serious effort to facilitate this transition.

During the last year 2 developments support our efforts:

1. The 12th Berlin Open Access Conference in December 2015 showed that a growing number of research organizations want to establish an international initiative which aims to convert the majority of today's scholarly journals from subscription to Open Access (OA) publishing. It resulted in the OA2020 Roadmap.
2. During the European Council, which took place in late May under the presidency of the Netherlands, European science ministers required 100% open access from 2020: after 2020 all scientific articles must be published under open access. And there is no 'double Dutch' to this: from 2014 until now Dutch universities were able to reach agreements with publishers like Springer, Wiley, Elsevier, Sage, Taylor and Francis and the American Chemical Society.

Maria HEIJNE started her career in 1976 focusing her interests on the technological and innovative developments in libraries, such as library automation (Geac Ltd), and early projects in networks and digital libraries (SURFnet).



As Library Director at Delft University of Technology (since 2001) she concentrated on adapting the library to new requirements in the information environment, resulting in establishing a Library Learning Centre and a Centre for Research Data Management. Open Access became a high focus area for her as Library Director of the University of Amsterdam (since 2013). She was member of the Dutch Elsevier negotiation team in 2014/15.

The British Approach by Stephen PINFIELD, Professor of Information Services Management at University of Sheffield, United Kingdom

This presentation will report analysis of data from UK higher education institutions on their experience of the open-access (OA) publishing market working within a policy environment favouring 'Gold' OA (OA publishing in journals). The research was conducted as part of a project sponsored by Universities UK and resulted in a report to them to inform their policy development. This presentation will, however, go further than the report and try to tease out some of the policy issues arising from the analysis. It will also interact with other recent studies in the UK, which show similar trends. The research undertaken models the 'total cost of publication' – comprising costs of journal subscriptions, OA article-processing charges (APCs) and new administrative costs – for a sample of 24 institutions. The policy implications of these developments will be explored particularly in relation to hybrid OA and potential of offsetting subscription and APC costs.

Stephen PINFIELD is Professor of Information Services Management at the University of Sheffield, UK. He has particular interests in scholarly communication, research data management, and library and information strategy. His research recently has focused on various aspects of open access publishing and dissemination and on institutional approaches to managing research data. He was formerly Chief Information Officer at the University of Nottingham and Founding Director of the SHERPA initiative. He has extensive experience of involvement in national and international policy development in areas associated with open access and open data.



The French Approach by Renaud FABRE, Director IST CNRS (Information Scientifique et technique, Centre Nationale de la Recherche Scientifique), France

French Digital Law has created a boost for Europe and its Universities, especially the ones joined into UNICA. It could be a source of inspiration and motivation for the evolution of European Law. Indeed, Europe was closely following the debate in France and has chosen to move towards greater freedom of circulation and more intensive exploration of scientific results.

What are the impacts of this new French Law for Open Access Scholarly Publications? How can it be an example for all of us?

First I must say that this element is one of the three main gains of the law:

- (i) Open Data
- (ii) Open Access Scholarly Publications
- (iii) Text and Data Mining

About Open Access Scholarly Publications so.

Article 30 of the Digital Republic Act formally recognizes this need for researchers to have access to the work of their colleagues and for the creation of a right to access and share knowledge. The new legislation has introduced into the French Research Code a right for the author of a scientific text to make the final version of the manuscript accepted for publication available free of charge, when this text is the result of a research activity financed at least 50% by public funds.

This version may be made available either immediately, if the publisher places the publication online free of charge, or after an embargo period. Embargo periods are six months for a publication in the field of the sciences, technology and medicine and twelve months in that of the human and social sciences, in compliance with EU recommendations.

Furthermore, the scholarly publications have been put in parallel with research data. Thus, research data may be reused freely once the research institution has made them public and the publisher may not retain ownership of the research data associated with a publication.

Renaud Fabre, born in 1949 (à Paris), is Professor of the Universities in Economics and former President of the University of Paris VIII (Vincennes Saint Denis). Graduate from Science Po Paris section “Public Service”), he passed his PhD at Sorbonne in Economics.



He taught at École polytechnique, at École nationale de la statistique et de l’administration économique, at Paris VIII, and at l’Institut d’études politiques de Paris.

Between 2001 and 2013, Renaud Fabre specialized in evaluation and control of public policies in fields of education and higher education at French equivalent of GAO (Cour des comptes). He has been also (2009-2013), Chairman of French delegation to ISO in the field of technologies of information for education (ISO/JTC1/SC36).

Between 2009 and 2011, he has been responsible of the strategy of Regions for higher education and research at national Association of Regions of France.

Since June 2013, Renaud Fabre is head of the Department for scientific and technical information of National Centre for Scientific Research (CNRS).

The Austrian Approach by Katharina RIECK, Analyst at Austrian Science Fund, Austria

The international Open Science movement is rapidly growing, and Austria – as one of the innovation leaders in the field – has taken several steps to promote Open Science. The Austrian Science Fund (FWF) was one of the first signatories of the Berlin Declaration and introduced its first Open Access Policy in 2004. FWF’s Open Access policy was declared one of the six most effective Open Access policies in the world by PASTEUR4OA in 2016. The Austrian Academic Library Consortium (KEMÖ) and the FWF began negotiating their first Open Access Deals with publishers in 2014, and at the same time started funding alternative Open Access Publication models and platforms. The discussion about Open Science and Open Access is also influenced by national organizations like OANA, Open Knowledge Austria and e-infrastructures Austria, all

of whom emphasize a collaborative approach towards Open Science and the facilitation of national initiatives. International collaborations with the United Kingdom, Germany and the Netherlands, among other European partners, allow for ongoing information exchange and the joint promotion of an Open Science system. This presentation will give an overview of past and present Open Science initiatives in Austria.

Katharina RIECK is a trained linguist and librarian and joined the Austrian Science Fund (FWF) in 2014. She is responsible for the Open Science Strategy at the FWF and manages the programme “Peer-Reviewed Publications” and co-manages the FWF “Open Research Data Pilot”. Katharina is an active member of “Open Knowledge Austria” and the “Open Access Network Austria (OANA)”, and co-authored the “Recommendations for the transition to Open Access in Austria” and “The Vienna Principles: A Vision for scholarly communication in the 21st century”.



Quality Open Access Market by Leo WAAIJERS, Founder of Quality Open Access Market

QOAM /kju:əʊm/ abbr. Quality Open Access Market. QOAM is a market place for scientific and scholarly journals which publish articles in open access. Quality scoring of the journals in QOAM is based on academic crowd sourcing; price information includes institutional licensed pricing.

QOAM has 24.000 OA and hybrid journals. Via Base Score Card libraries question the transparency of the journals’ websites with respect to their editorial board, review process, workflow and governance. Authors share their experience with the journal via Valuation Score Cards. Together both scores define the SWOT status of the journal: Strong, Weaker, Opportunity (for publishers), and Threat (for authors). Today QOAM has 1000+ journals with a SWOT status.

Next to this crowd sourced quality judgement QOAM publishes the publication fees of the journals, including the price effects of the newly settled open access offsetting deals in the Netherlands and elsewhere. Thus a real market place emerges.

Recent features of the marketplace are the myQOAM option, enabling authors to create their own niche, and the Submission button, linking directly to the submission page of a journal. QOAM will soon facilitate libraries to set up QOAMcorners for their authors with dedicated collections for specific disciplines or institutions or project teams.

The presentation will stage an author looking for a journal to publish her article in. The potential role of libraries will be discussed. The sustainability of QOAM will be scrutinized.

Leo Waaijers has a long-term commitment to Open Access developments, first as the University Librarian of Delft University of Technology (1988) and later in a corresponding post at Wageningen University & Research Centre (2001). He concluded his career as the manager of the SURF Platform ICT and Research where he managed the national DARE programme (2004-2008), the forerunner of the European DRIVER and OpenAire programmes.

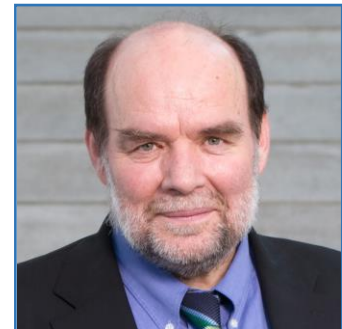


In 2008 he won the SPARC Europe Award for Outstanding Achievements in Scholarly Communications. After his retirement he advised about the Open Access infrastructure of the Irish universities (together with Maurice Vanderfeesten) and in 2009 he evaluated the Swedish National Open Access programme "Open Access.se" (together with Hanne Marie Kvaerndrup). Regularly, he is doing studies on OA related topics together with Maurits van der Graaf, among others for SURF and for Knowledge Exchange. Together with Saskia de Vries he initiated Quality Open Access Market (2012).

Session 3: Sharing views and experience

Chair: Jacques LANARÈS, member of UNICA Steering Committee, former Vice-Rector for Quality, Human Resources & Development of Teaching at Université de Lausanne

Prof. Jacques Lanarès is Vice-Rector of the University of Lausanne since 2006. He is in charge of Quality, Human Resources, and Development of Teaching and eLearning. He studied Neuropsychology and obtained his PhD in Psychology from the University of Geneva. Since 2010, he is a Professor at the University of Lausanne (Teaching and Learning in Higher Education and Lifelong Learning).



He is involved in Quality matters on the national and international levels. He chairs the Quality Delegation of the Swiss Rectors' Conference and is Member of the Swiss Accreditation Council. Prof. Lanarès also serves as Quality Expert for several organisations such as the European Association of Universities (EUA/IEP), European Association for Quality Assurance in Higher Education (ENQA), World Bank and various national accreditation agencies (Belgium, Finland, France, Ireland, Lithuania).

Open Access, Open Science and other Open Things: A digital scholar's hopes for the future of scientific publishing by Aris XANTHOS, Senior lecturer, Department of Language and Information Sciences, Université de Lausanne

The world of scientific publishing is being shaken by large-scale initiatives aiming to reshape economic models and legal frameworks to foster the production of scientific knowledge and ensure that it remains a public good. In the midst of it all, this talk proposes an idiosyncratic view of what the future might hold for a particular category of scientific publishing stakeholders, namely researchers. In so doing, it will focus on the potential role of information technology and reflect on topics ranging from the opportunity of borrowing open software development practices, through the scholarly status of digital work, to the promises and challenges of democratized text and data mining.

*A linguist by training, **Aris Xanthos** is a senior lecturer in Humanities computing at the University of Lausanne, as well as the founder of LangTech Sàrl, a start-up in the field of language technology. His current research interests lie mainly in the study and development of innovative methods and interfaces for the analysis of Arts and Humanities data, with a particular emphasis on their textual and linguistic aspects. He is also the author of several open source software products, notably the Textable visual programming environment for text analysis.*

