

## SPARC Japan Seminar 2023

Preparing for Immediate OA:  
A Reintroduction to Licensing for Getting Your Papers and Data Used

# Publisher Perspectives on Open Access and Licensing

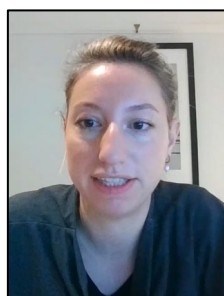
Victoria Eva  
(Elsevier)

### Abstract



Victoria will provide an overview of considerations that researchers and institutions may wish to make when publishing research, particularly as they think through open access options. Victoria will offer brief explanations and context regarding models for open access, where licensing fits in and why, plus policy implications for open access models and licensing.

### Victoria Eva



As SVP of Global Policy and Industry Relations at Elsevier, Victoria is responsible for managing Elsevier's policies and strategy for access to research outputs, and for coordinating on global policy and legislative issues pertaining to Open Science. Victoria's team also manages and coordinates Elsevier's partnerships within the publishing industry via trade and member associations. Victoria has a background in policy, publishing, and communications. Prior to joining Elsevier in 2018, Victoria managed policy at education publisher Pearson Plc. Her previous roles include Head of Communications at trade body The Publishers Association, and handling accounts as part of a Public Relations consultancy, specialising in media and copyright law firms.

I am a Senior Vice President for Global Policy and Industry Relations at Elsevier. I am here today to talk about open science and particularly bringing a publisher perspective on issues such as open access (OA) and licensing.

### Elsevier's Mission

Just to give you a quick overview of Elsevier, our mission is to help researchers and healthcare professionals to advance science and improve health outcomes for the benefit of society. We realize this by facilitating customers' insights and criti-

cal decision making across the global researches and health ecosystems. In everything we publish, we uphold the highest standards of quality and integrity at scale to ensure value to the research community including researchers, healthcare professionals, institutions, and funders.

### Pillars Supporting Open Science

Now, I am going to briefly introduce the context and background of open science before I get into the details. What is the open science? Figure 1 shows a house with various pillars supporting open

science overall structure. Open science is a method to conduct research in an inclusive, collaborative, and transparent way. But this must be held up by those pillars or components of open science, which include things like OA, open research data and sharing of research data.

Today, I will talk about those pillars, open indicators for responsible research assessment and evaluation as well as supporting access to research for wider society for societal benefit. Furthermore, I will explain the tools, software, and infrastructure to support that open ecosystem. I hope you will get a sense that there are a lot of elements that make up open science. I will focus on just a few of those in this presentation.

### Key Definitions in OA

I would like to give some definitions of OA before going into the details (Figure 2). This is the core of what I will be talking today, which is the two forms of OA that particularly Elsevier, as well as most other publishers, would operate.

The first is Gold OA. This is a publishing model, which enables anyone to access the final version of a research article promptly and freely. Another important aspect of Gold OA is ensuring that the final article should be made available under a Creative Commons (CC) end user license.

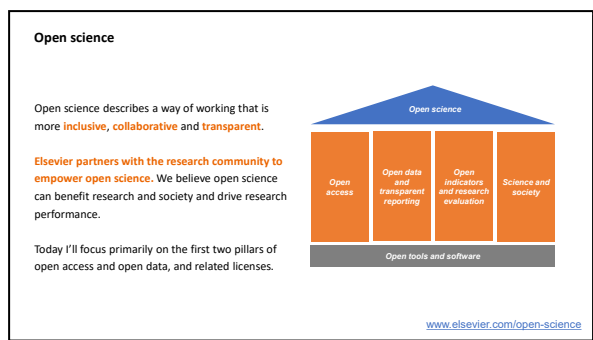
The CC license is really important because it

provides the information and explanation about how to share and reuse the article in crystal-clear terms to readers, users, and any third party. In this sense, Gold OA ensures the openness not only by making research available but by clarifying the method to share and reuse the research to support both the author and the users. Under Gold OA, the costs of publishing are recovered in advance via an Article Publishing Charge (APC).

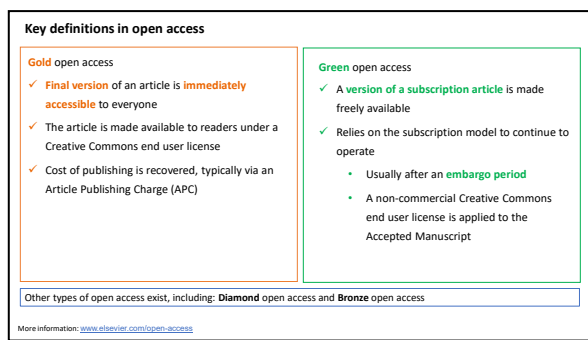
The other is Green OA. There is a clear difference between Green OA and Gold OA. Green OA is not a publishing model like Gold OA, but derivative from the subscription model. There is a fact that an author chooses to publish under the subscription model. Also, he/she can publish it for free of charge unlike Gold OA model.

They might also want to make their research article freely available. We have to strike a balance here because as publishers we do need to ensure the sustainability and the viability of the subscription model. If you make contents freely available to everybody other than subscribers, that will undermine the subscription model. We want to balance with the understanding that researchers may want to share their research freely, but for whatever reason may not have decided to choose Open Access publication.

In this situation, we say you can use the Green OA route. The author publishes by the subscrip-



(Figure 1)



(Figure 2)

tion model, and make the earlier version of the subscription article freely available under Green OA. The earlier version is called an “accepted manuscript” which has gone through peer review and is not the final version with final edits and changes. This accepted manuscript can be archived by the author himself/herself and put in a repository to make available to all non-subscribers. We ask him/her to do this after a certain time delay, which is called an embargo period. This will allow the subscription model to work, where subscribers will have first access to the final article. We also ask that a non-commercial, NoDerivatives CC license to be applied to the accepted manuscript to support the viability of the subscription model.

There are other types of OA. You may have heard of the Diamond OA and the Bronze OA, but I will not mention them here.

### Rights Retained by Authors

Once again, I would like to talk about the publishing process in more detail and clarify any misconceptions here as well (Figure 3). Specifically, I want to explain what happens in relation to when authors publish open access or under the subscription model and what that means for their rights.

To be very clear here, when authors choose to publish OA or the subscription, they will have many of the same rights to support their need to

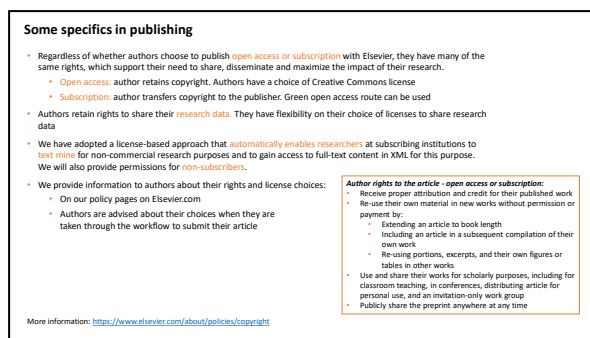
share, disseminate, and maximize the impact of their research. I do believe that authors will get a very similar experiences with other publishers, but just to be clear I am talking from an Elsevier’s perspective here.

But to be clear, when authors publish OA, they will retain their copyright. They will also be given a choice of CC license to apply to their final article freely and immediately. We believe that it is important that they have the choice.

We have always seen from surveys that authors have specific preferences about how their content is reused and shared. Some authors want complete reuse and sharing for some purpose, while others want noncommercial reuse and sharing. The CC license reflects those sorts of choices and that is why we provide that choice.

In the subscription model, authors transfer their copyright to the publisher. If they want to make a version of their subscription article freely available, they can use that Green OA route. But to dispel some myths here, regardless of which publication model authors choose, they still have many rights to share their article.

That includes the right to receive proper attribution and credit, and the right to reuse their own material in new works without our permission or payment to us. They can extend their work to book length, include it in compilations of their own work. They can also reuse excerpts, figures, and tables from other works. In addition, they can use and share their works for scholarly purposes such as classroom teaching, personal use and as part of research collaborations. Preprints can of course be shared publicly as well. I just want to clarify, these are all things that researchers can do because I have seen information being spread that authors



(Figure 3)

cannot do all of these things. I would recommend you to check out our website to get the full information on these.

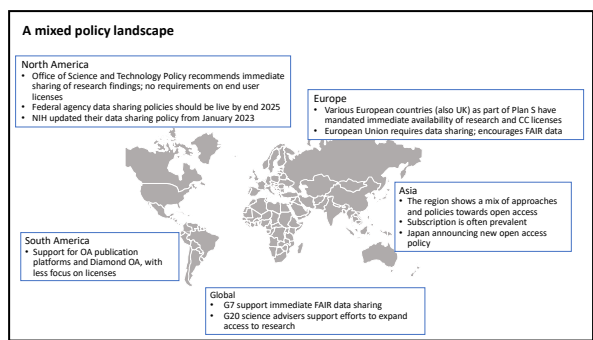
Regarding research data, authors retain the rights to share. They have absolute flexibility in their choice of licenses to share irrespective of the selected publishing model.

Also, regarding text and data mining, we have adopted a license-based approach that automatically enables researchers at subscribing institutions to automatically text mine for non-commercial purposes, but we also provide permission to non-subscribers as well. It is also important to note this fact. Again, I recommend you to look at our text and data mining policy. I know this is a lot of information. We provide all this information on our website. When an author submits their manuscript to us, they will be given lots of advice and information about their choices in our workflow.

### Mixed Global Policy

Let us broaden our perspective here and think about the broader global policy context. We do see a quite mixed policy landscape when it comes to the elements that I am talking about here, such as OA and licensing. What I should say here is that there is a real mix of different type of policies. There is no same policy in every region in the world.

Figure 4 is not a comprehensive lists but shows



(Figure 4)

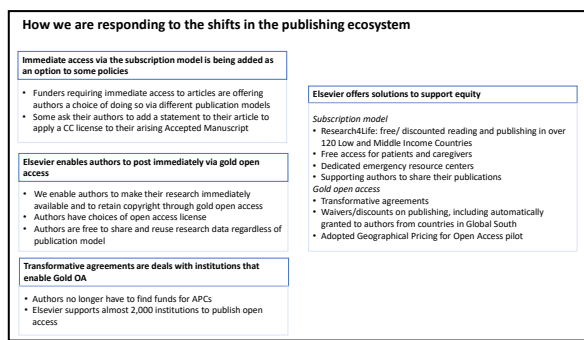
that there are differences by country. Along with the trend toward immediacy, I would like to point out the emergence of funder policies that requires immediate access to research.

In North America, the Office of Science and Technology Policy (OSTP) recommends immediate sharing of research findings. There is also a real focus on one of the largest federal agencies there to ensure sharing of research data and management of that research data. In Europe including UK, funders require immediate access to the research and there are clear prescriptions on the CC license to apply to the research articles. South America has a different focus on the diamond model which focuses on the authors not paying to publish or paying to read with lots of articles and being deposited in repositories.

In Asia, with apologies for lumping lots of different countries together, the policies and approaches to publishing are really mixed. There is still a focus on the subscription model, but Japan announced a new OA policy focusing on immediacy. Globally, the focus is on efforts to increase access to research as well as research data.

### Elsevier's Response to Shifts in the Publishing Ecosystem

Finally, I would like to touch on how Elsevier is responding to the shifts in the publishing ecosystem



(Figure 5)

tem (Figure 5). As I mentioned earlier, the policy requiring immediate access to research is increasing regardless which publishing model the author has chosen. There also can be a focus on author retention of rights, or authors applying certain Creative Commons and user licenses to manuscripts arising from the submissions. Our clear response to this that we have is that Elsevier enables authors to make their research immediately available through Gold OA. We think that it is a sustainable and scalable mechanism that ensures immediate access to the research. Authors retain their copyright under Gold OA, so there is no issue with rights, they have choices regarding the end user license. Also, regardless of publication model, they can share their research data as required.

It is important to focus on the fact that we actually support OA. We have over 750 fully Gold OA journals. We have also various transformative agreements, which are commercial agreements with institutions to realize their OA goals. They have lots of the names such as read and publish deals or combined deals but overall we are supporting almost 2,000 institutions to publish open access via this arrangement. That means we support Gold OA model in a sustainable and scalable way, and can meet the future policy requirements.

I would like to briefly to equity because this is a point that does comes up a lot when we talk about both publishing models, subscription and Gold OA. For the subscription model, people want fairness in terms of access to research. Under Gold OA, they want to see equity in terms of their pricing, and access to that Gold OA model.

Under the subscription model, we have a vast range of initiatives to support free access to subscription articles across countries in the global

south, the patients and caregivers as part of emergency resource centers for everybody during times of emergencies such as the COVID-19 crisis. We also absolutely support authors to share their subscription articles via various initiatives such as Share Links.

Under Gold OA, to ensure that authors have their means to choose the Gold Open Access model, we do have these transformative agreements which do shift their cost burden away from authors. I am pleased that Japan has a proposal via Japan Alliance of University Library Consortia for E-Resources (JUSTICE). We also have a vast initiative of waivers and discounts that will automatically apply to many authors in the Global South. We are really proud to have adopted a new geo pricing pilot to ensure fair pricing of article publishing charges across a range of countries including in those the Global South.

I hope that I have been able to give you a small overview of what we are doing regarding OA and how we support authors to publish OA. I hope it has been helpful for you.