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Open Access guidelines for the arts and humanities. Recommendations by the DARIAH European research infrastructure consortium.

Why do we care, why should we care

Opening up access to scholarly knowledge is a key value of the academy in the 21st century. The digital transformation of research and its resources opened up radically new potentials in innovation and dissemination in all research areas. Such innovations and changes in practice have led to a fundamental transition in the way research is designed, performed and evaluated, and how knowledge is shared. Findability, accessibility, transparency and reusability have emerged as the main quality standards in scientific endeavours. With the growth of the Open Science 'movement' in the past few years, researchers have been increasingly encouraged by their home institutions, their funders, and by the public, to share their scholarly outputs. Open Access is one of the main pillars of this

movement. Open Access[1] generally refers to the free availability of scholarly publications such as journal articles or books on the public web. To make knowledge a public good and to help the quick and transparent dissemination of research results,since 2012, Open Access has clearly been supported by the European Commission. But nothing will be possible without the commitment of researchers.

DARIAH's key commitments to the open dissemination of scholarly works

Arts and humanities scholars know that having access to a broad range of research - over time, across countries, across disciplines - enriches their own ability to interpret and create knowledge. As a first step in its long-term goal of promoting Open Science, DARIAH hereby proposes recommendations to improve open access to publications in the arts and humanities. Leveraging on DARIAH's role as a translator between legislative bodies, European policy makers and the various research communities around humanities, in the present document we aim to bring closer the harmonised European Open Access policy landscape to the communities. We show the potentials in open knowledge sharing and recommend practical steps to achieve it. These considerations are centred around the following key commitments.

First commitment: All research results should be **openly available for everyone i**n a way that ensures both immediate Open Access and full text and data mining re-use rights of that content. To achieve this, we support both green and gold Open Access publishing models.

Second commitment: to ensure long-term availability, we highly recommend **self-archiving** of research outputs in institutional or subject repositories or 'preprint servers' also in cases when works are published in Open Access journals, books or publishing platforms.

Third commitment: ownership of scholarly works should stay with the researchers, or their research institutes, themselves. We highly recommend to authors to **retain their copyrights and publish their works under open licenses.** More specifically, we recommend, where possible, the use of the Creative Commons Attribution License CC-BY.

Fourth commitment: when publication charges are required, they should be paid only to **fully Open Access publishing forums**. Therefore, in line with Horizon Europe's policy, **we strongly advise not to publish in hybrid Open Access journals** (i.e., closed, subscription-based journals that also offer Open Access publishing services in which case authors cover the costs of publishing via article processing charges).

Fifth commitment: transparency is a prerequisite of openness. The knowledge dissemination ecosystem can only truly serve researcher communities and the society at large as long as it is **based on maximum possible transparency between authors and**

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[1] For a more comprehensive explanation, see Open Access as defined in the Budapest Open Access Initiative:
 "By 'open access' to [research] literature we mean its free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself."

publishers. Therefore, transparency criteria should be a primary consideration when it comes to publication choices. When selecting a publishing venue, **we highly recommend for scholars to check whether these venues are transparent in their policies, publishing costs, sharing conditions and authors' rights** and communicate these expectations towards a journal or publisher their are planning to publish.

Sixth commitment: in the digital research ecosystem **we no longer produce only papers**. Research results can take many forms that coexist with the research paper, such as data, code, images, teaching materials, videos and more. To maximize the potentials of books and research articles and increase the reusability of research results, we strongly recommend for scholars to make available and link persistent identifiers also to all of their research outputs and use these identifiers in their publications to give access to data and code used for the research project to their readers. **Data and software citations** are essential in keeping the different components of the same project together and thus making its results truly reproducible or reusable.

Seventh commitment: in the digital research ecosystem, **open access to scholarly outputs should not only be guaranteed to humans but also to machines**. To achieve this, **good quality, machine-readable metadata** is essential especially for licensing, and copyright information. We recommend therefore that, if possible, scholars should check with publishers whether they assign unique and persistent identifiers to their publications or whether their metadata are indexed in scholarly databases. In addition, we also recommend for researchers to create a standardised, unique persistent identifier for themselves.

Eighth commitment: opening up access to scholarly works can be best achieved if **publishing models are in line with established disciplinary practices.** Therefore, we strongly support **diversity in Open Access business models** and recommend for scholars, in particular established research leaders, to explore the full spectrum of available models and services to find the option that fits best to their funding opportunities and disciplinary traditions.

Benefits of Open Access for Arts and Humanities scholars

Finding ways to release knowledge more widely and more quickly stands to bring great benefit not just to yourself, but also to the arts and humanities.

Open Access can provide several benefits for Arts and Humanities researchers by:
- Increasing **impact and visibility** of their research. Open access is wider access. Research not being locked up behind paywalls is freely available for anyone, even outside universities or research institutions.
- Opening research up to **greater discoverability**, for example via full text data mining of open resources or research discovery platforms.
- **Driving more usage or re-use to research outputs** for educational or research purposes. Research with greater access to the society at large/freely and widely available research has full potentials to reach new audiences and is available for public engagement and interdisciplinary collaborations.

- Facilitating **citation**[2]. With metadata harvesting[3], documents deposited in open archives are more easily referenced by search engines, bibliographical databases and directories.This way documents reach a larger audience which increase their citation potential.

- Having access to **statistics** related to the publication (like viewings, downloads or shares) helps assess and contextualize its academic and societal impact. Open and accurate metadata including persistent identifiers and open citations significantly contributes to the trackability of publications.

- Establishing **new ideas** more quickly. Open and transparent publishing workflows offer various advantages that enhance and speed up scientific communication processes. For instance, sharing preprints enables researchers to **receive** comprehensive **feedback** from a broad circle of colleagues **prior to peer review**.

- By making work available in Open Access, researchers **contribute to the** unconstrained, **democratic and egalitarian distribution of scientific information** and innovation.

- Retaining **author rights**. By publishing in Open Access, there is no pressure on authors to transfer their copyrights (although some hybrid publishers still require this). In the open scholarly communication ecosystem retaining author's legal and moral rights to their contents and their freedom of disposal over their intellectual property are core values.

- **Enabling sustainable (self-)archiving** of documents. The 'green' Open Access infrastructure (open repositories, preprint servers or data repositories) allows everyone to make their research publicly available for free and in perpetuity.

- **Reducing** publication **costs**. Open Access does not mean no costs are involved; but essentially, access **costs are non-existent** for readers in this framework (Green Open Access). Optimizing the costs of publishing is also a central idea behind a range of alternative gold Open Access publishing models.

Increasing the impact and visibility of arts and humanities research work, at an individual level and collectively, builds our **digital sovereignty** as scholars, and is one of the key potential benefits of embedding open access in the arts and humanities.

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[2] See:Alma Swan, 'The Open Access Citation Advantage: Studies and Results to Date', 2010 <https://eprints.soton.ac.uk/268516/> [accessed 12 September 2018]; Yassine Gargouri and others, 'Self-Selected or Mandated, Open Access Increases Citation Impact for Higher Quality Research', *PLOS ONE*, 5.10 (2010), e13636 <https://doi.org/10.1371/journal.pone.0013636>; Heather Piwowar and others, 'The State of OA: A Large-Scale Analysis of the Prevalence and Impact of Open Access Articles', *PeerJ*, 6 (2018), e4375 <https://doi.org/10.7717/peerj.4375>

[3] See: 'Open Archives Initiative Protocol for Metadata Harvesting' <http://www.openarchives.org/pmh/> [accessed 12 September 2018].

Open Access Toolkit: DARIAH's practical recommendations to promote Open Access within the arts and humanities

Being open is your right and choice as a researcher, and the benefits of openness will accrue to you as well to your discipline and the wider audiences for your research. By following a few simple steps, you can fully contribute to this approach to knowledge sharing:

Explore your options to publish Open Access

- As a first step, we recommend you to explore the Open Access publication venues that are relevant to your field. You can browse the **Directory of Open Access Journals (DOAJ)** or the **Directory of Open Access Books (DOAB)** or the **LAL Academy's list of Open Access journals, books, and databases in Linguistics, Literature and Language Studies** for reliable information about verified[4] Open Access scholarly journals and book publishers. As a second step, **consult your institutional librarian** about fully Open Access publication forums, offsetting deals, partnerships, publication grants and other funding opportunities that are available for your institution.
- **There are many free-to-publish Open Access journals** available for arts and humanities[5]. Besides, in recent years new models have been emerged for **Open Access book publishing** where the **publication costs are covered** by library crowdsourcing models, institutional funds or endowments or freemium models such as the Open Library of Humanities, Knowledge Unlatched, Language Science Press or OpenEdition to name but a few.[6]
- Contrary to the increasing number of and diversity in Open Access publishing opportunities and the massive policy-level support behind them, in the current academic landscape there might still be sound reasons that prevent publishing in Open Access journals or books. **This however doesn't mean that you cannot make your research openly accessible.** By depositing your works in institutional repositories, subject repositories or preprint servers, **you can make your research free** and in almost all cases **immediately accessible t**o everyone **regardless on your publishing choices**. Below you can find more information about the practical steps.

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[4] DOAJ curates a list of open access journals that achieve Open Access best practices and fulfil the criteria of ethical publishing. You can read more about the criteria applied here: https://doaj.org/bestpractice

[5] https://doaj.org/faq#fees

[6] You can learn more about these business models from the Open Access Business Models OPERAS White Paper. Lara Speicher and others, 'OPERAS Open Access Business Models White Paper', 2018 <https://doi.org/10.5281/zenodo.1323708>.
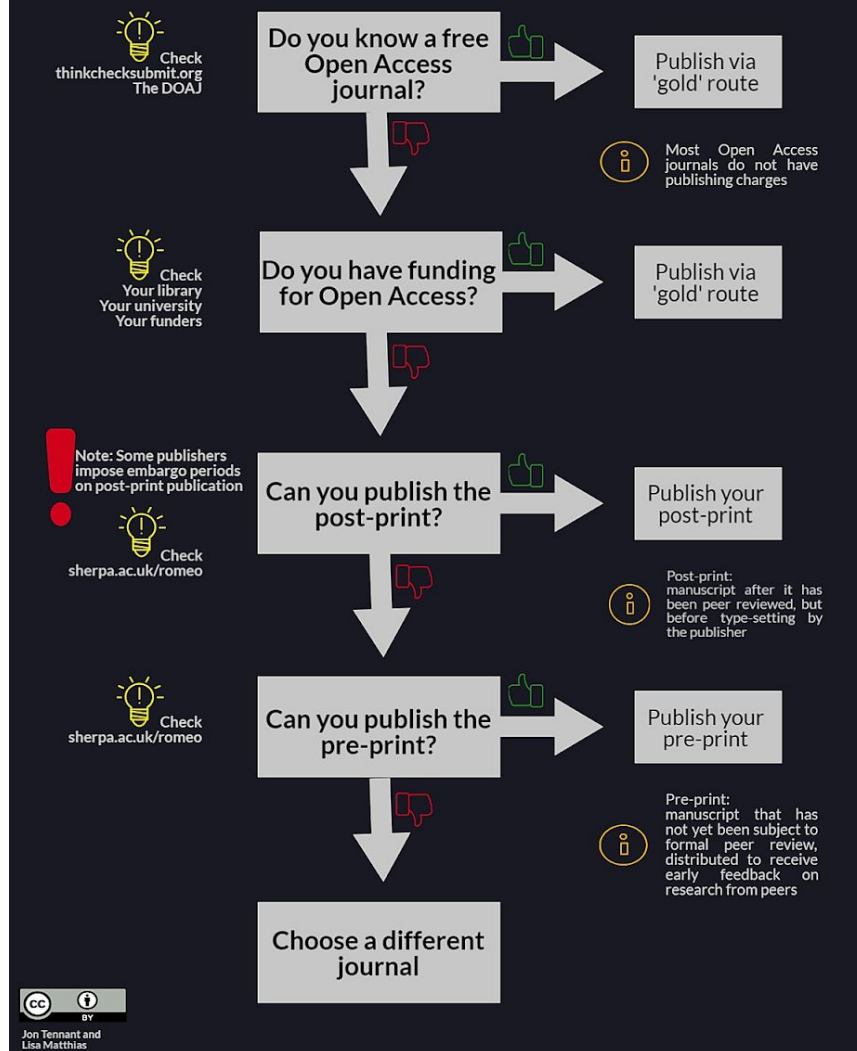
(Image credit: Lisa Matthias and Jon Tennant, CC-BY)

Build digital sovereignty: ensure that your outputs are available in a publicly maintained environment

- Systematically deposit your work in an **open and public repository**, institutional or otherwise. If your institution does not provide an open archive, using a sustainable,

free and open archive such as **HAL**, **Zenodo** or **Humanities Commons** is also possible. The **Directory of Open Access Repositories** helps you to find the most suitable archive for your work. If you are not comfortable with sharing your work prior to peer review, depositing pre-prints or post-prints after the peer-review procedure is ended is an option for you. **Involve your co-authors** in the deposit process, by asking for their agreement in an earliest possible phase of your cooperation, by identifying them during the deposit process, and by systematically adding their institutional affiliation. We kindly ask you to deposit your DARIAH-relevant works to the **DARIAH collection** **on HAL** by simply adding DARIAH to the Collaboration/Project metadata field. For more information about preprints and licensing, you can consult ASAPbio's **preprint licensing FAQ**.

● Even if you choose to publish your work in an **Open Access journal**, **deposit the full text of the author's version** in an open archive. It will guarantee free and sustainable access to your work in the case that the dissemination policy of your publisher changes in the future.

How to know your publisher's policies?

Most publishers have a **deposit policy**, which may comprise an embargo before the document can be made available online after the publication date. The policies for most major journals and publishers can be found on the **SHERPA/RoMEO** portal.

● Deposit your work **as soon as possible**. DARIAH recommends **to deposit a revised full text of the author's version** as soon as it is sent to your publisher.
  ○ You can also deposit **your past publications** in an open archive, provided you ensure that you have right and relevant permission to do so. Don't hesitate to contact your publisher for more information.
  ○ You can also deposit **non peer-reviewed materials** (also called preprints[7]) in an open archive. As they have not yet been published, your rights have not already been transferred to a publisher. Publishing a non-peer reviewed work in Open Access does not mean that you are avoiding peer-review evaluation; but it enables you to minimize diffusion delays. You will be able to share your work with your colleagues, receive their feedback, get cited and create new collaborations. This usually does not count as 'previous publication' for subsequent submission to journals.

The life cycle of a publication

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[7] The terms "pre-print" and "post-print" are sometimes used. A **pre-print** is the version of an article before peer-reviewed evaluation. A **post-print** is the version of an article approved by a peer-reviewed journal. Post-prints include approved but non-revised articles and approved and revised articles.

- **Author version**: corresponds to any text with content that is directly produced by its authors. This includes the initial manuscript and its subsequent versions, the manuscript submitted for review to a conference or a journal.
- **Initial manuscript**: first form of the author version disseminated in open access.
- **Submitted manuscript**: first form of the author version sent to a conference or a journal for peer review.
- **Revised manuscript after review**: last author version as transmitted to the conference or journal after peer review.
- **Publisher's version**: document possibly formatted by the conference or journal publisher and distributed by the latter. If the copyright is owned by the publisher, authors are not allowed to share this version.

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- **This presentation** prepared by Walter Scholger and Vanessa Hannesschläger, chairs of the **DARIAH ELDAH working group** will help you to better understand to legal terms and issues regarding copyright and publication and how open licenses work. For more information about the responsible reuse of cultural heritage data, you can consult the **The Collection Trust Guide to understanding copyright.**

- Being aware of the ownership status of your published works is an essential first step in making them publicly available. If you have publications or are planning to publish

in non-open access journals, **check the conditions of licensing, copyright transfer and the termination of transfer provisions**. This allows you to legally share your work and terminate licensing arrangements you have made with publishers that have prevented them from sharing openly your works. The **Termination of Transfer** tool or the **SPARC Author Addendum** are useful resources for this purpose.

● **Identify your expectations towards and assess the credentials of a journal or publisher** you are planning to publish. For instance, high-quality metadata including persistent identifiers significantly increase the discoverability of your paper while an inappropriately annotated license information can easily make your Open Access research unrecognizable for machine reading and indexing services. These aspects are just as important **selection criteria** as e.g. the transparent communication of fees or peer review policy. The **Think. Check. Submit.** platform provides a useful checklist to identify trusted journals that meet your expectations as an author. The **Cofactor journal selector** or the **Quality Open Access Market** are also useful tools helping to decide where to publish.

Make it citable, make it findable

● Create a unique and persistent **Researcher Identifier**. A Researcher Identifier or Author Identifier is a digital and persistent code (persistent digital identifier, unique identifier…) assigned to a researcher. This identifier unambiguously identifies a researcher and unequivocally allocates their research outputs (publications, datasets, funded projects…) to them. You should favor Researcher Identifiers created by a free, public and open service like **IdHal**s or **ORCID**. This blog post gives you an idea how to make the most from your ORCID ID.

● To maximize the potentials of books and research articles and increase the reusability of research results, **link persistent identifiers also to your data and software outputs** and use these identifiers for data and software citations. Linking your data (e.g. annotations, textual data, geospatial data, musical notations, audiovisual data, images) and software with your publications are essential in keeping the different components of the same project together and thus **making** its **results** truly **reproducible or reusable**. You can make accessible and **assign persistent identifiers to you data and code** by depositing them in data repositories. To learn about which repository fits your needs in terms of data type, discipline and country, you can consult the **Registry of Research Data Repositories (re3data)** or its special application for arts and humanities, the demonstrator instance of **Data Deposit Recommendation Service (DDRS)**.[8] The **CiteAs** tool helps you to get the

correct citation form for diverse research products, from software to preprints.

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[8] For data and software citation principles, see: Mercè Crosas, 'Joint Declaration of Data Citation Principles - FINAL', *FORCE11*, 2013 <https://www.force11.org/datacitationprinciples> [accessed 12 September 2018]; Arfon M. Smith, Daniel S. Katz, and Kyle E. Niemeyer, 'Software Citation Principles', *PeerJ Computer Science*, 2 (2016), e86 <https://doi.org/10.7717/peerj-cs.86>.

Does Gold Open Access equal high publishing costs?

In terms of business models, a fundamental entailment of Open Access publishing is replacing the current subscription model of scholarly publishing to one that provides free access to readers. The most known such business model of Open Access publishing is based on APCs (article processing charges) where the cost of publication is paid by authors or their funders or institutions in order to enable free access to the scholarly content. **This model however can only be partially associated with gold Open Access, and indeed most 'gold' OA journals do not charge any article processing charges according to the DOAJ.**[9]

The recognition that paying for the costs of publishing is not an affordable option for many research communities and therefore it generates massive inequalities in open scholarly communication gave rise to **more inclusive and sustainable alternative business models both open and free to authors as well as readers**. In these non-author-fee publishing models, many of which are based on elements of crowdsourcing funding schemas, subscription expenditures are redirected towards Open Access publishing platforms and tools. The series/results of the OpenAire calls for support for non-author fee open access publishing initiatives give an insight into how such alternative publishing models work.

Some of the most successful alternative gold OA publishing models have been emerging from arts and humanities with disciplinary profiles like linguistics (Knowledge Unlatched) or literature and cultural studies (Open Library of Humanities). Growing out from community practices and needs, these models are sensitive to and **offer solutions for the Open Access publishing of monographs**, the primary research outputs in the arts and humanities. From the coordination of efforts in the development of open scholarly communication in the social sciences and humanities, the European research infrastructure OPERAS emerged as a key actor in Open Access publishing.

How DARIAH supports Open Access in the Arts and Humanities

DARIAH supports the Open Access movement by regularly offering training sessions to Arts and Humanities researchers. DARIAH masterclasses encourage researchers to produce open contents: open data, open lexical data or open educational resources.

DARIAH also provides platforms, such as **#dariahteach** or **OpenMethods**, to disseminate these outputs in Open Access.

If your institutional or national context does not offer a viable option, DARIAH offers researchers in the arts and humanities to use **HAL** publication repository. HAL was developed as a French national resource, now opened internationally.

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[9] An important addition to decouple the notion of APCs from the institution of Gold Open Access publishing: 71% of the 11,001 journals listed in DOAJ do not charge APCs. https://sustainingknowledgecommons.org/2018/02/06/doaj-apc-information-as-of-jan-31-2018/

Within the same platform, **Episciences** supports the emergence and development of overlay journals, namely open access electronic journals taking their contents from preprints deposited in open archives such as arXiv or HAL.

DARIAH fosters access to **OpenEdition**, the French publishing Open Access portal. Dedicated to Humanities and Social sciences publications, it maintains and develops three Open Access platforms: **OpenEdition** journals, **OpenEdition Books** for Open Access monographs and the multilingual blog portal **Hypotheses**.

DARIAH is a cooperating partner of Open Access and Open Science initiatives and organizations like the **Open Science MOOC**, **OpenAIRE**, **OpenUp**, and **FOSTER Open Science**.

DARIAH is committed to its role of making the voice(es) of Arts and Humanities researcher communities heard on the European policy level.

European Open Access Policies

EU Commission Recommendation of 17.7.2012 on access to and preservation of scientific information

<https://ec.europa.eu/research/science-society/document_library/pdf_06/recommendation-access-and-preservation-scientific-information_en.pdf>

Guidelines to the Rules on Open Access to Scientific Publications and Open Access to Research Data in Horizon 2020

<http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-pilot-guide_en.pdf>

Open Science Policy Platform Recommendations: <https://ec.europa.eu/research/openscience/pdf/integrated_advice_opspp_recommendations.pdf>

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