

## Policy för Open Access och parallellpublicering

Beslut: NMN 2014-10-23

Beredning: FAB och NM Forskningsråd;

Magdalena Gram, Katarina Wiberg, Magnus Olausson, Helena Kåberg, Maria Ljungkvist

### Bakgrund

Nationalmuseum verkar för att publicerade forskningsresultat ska göras fritt tillgängliga för alla i enlighet med Berlindeklarationen om Open Access (bil 1) som undertecknats av Sveriges universitets- och högskoleförbund samt med de principer som formulerats i Budapest Open Access Initiative (bil 2). Detta sker även i linje med de krav som allt fler forskningsfinansiärer ställer.

Nationalmuseum är medlem i konsortiet Digitala Vetenskapliga Arkivet, DiVA, och använder plattformen för att registrera bibliografiska data samt publicera digitala artiklar och monografier i fulltext (bil 3).

Syftet med medlemskapet i DiVA är att synliggöra och tillgängliggöra publikationer av Nationalmuseums personal och att skapa en samlad plattform för museets egen digitala publicering, t.ex. *Art Bulletin of Nationalmuseum*, samt parallellpublicering i fulltext.

Genom att använda DiVA får de digitala publikationerna en unik och permanent identifikator, s.k. URN:NBN, vilket innebär att de alltid är sökbara även om t.ex. en server flyttas eller byter namn.

### Policyn innebär:

- Bibliografiska data om anställdas vetenskapliga publikationer ska löpande registreras och göras tillgängliga i DiVA. Även populärvetenskapliga publikationer, artiklar i dagspress och konferensbidrag kan registreras.
- DiVA används som publiceringsplattform för museets egna digitala publikationer.
- Publikationer som ej ingår i museets egen digitala utgivning ska i möjligaste mån parallellpubliceras i fulltext i DiVA. Om endast s.k. författarversioner (eller pre-print) tillåts ska uppgifter om version samt var artikeln/monografien först varit publicerad anges.
- Det är författarens ansvar att inhämta tillstånd från externa förlag eller tidskrifter om parallellpublicering i DiVA. Överlåtelse av författarens upphovsrätt ska om möjligt undvikas.

### Ärendets beredning

Ärendet har beretts inom avdelningen Forsknings, arkiv och bibliotek (FAB) samt Nationalmuseums interna forskningsråd vid möte 2014-09-24. Närvarande vid mötet var Magdalena Gram, avdelningschef för FAB och sammankallande i forskningsrådet, Katarina Wiberg, forskningshandläggare och föredragande i ärendet, Magnus Olausson, avdelningschef för Samlingar och utställningar, Helena Kåberg, intendent vid Samlingar och utställningar samt som adjungerad Maria Ljungkvist, biträdande avdelningschef vid FAB och tillika digitaliseringssamordnare.

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## **Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities**

### **Preface**

The Internet has fundamentally changed the practical and economic realities of distributing scientific knowledge and cultural heritage. For the first time ever, the Internet now offers the chance to constitute a global and interactive representation of human knowledge, including cultural heritage and the guarantee of worldwide access.

We, the undersigned, feel obliged to address the challenges of the Internet as an emerging functional medium for distributing knowledge. Obviously, these developments will be able to significantly modify the nature of scientific publishing as well as the existing system of quality assurance.

In accordance with the spirit of the Declaration of the Budapest Open Access Initiative, the ECHO Charter and the Bethesda Statement on Open Access Publishing, we have drafted the Berlin Declaration to promote the Internet as a functional instrument for a global scientific knowledge base and human reflection and to specify measures which research policy makers, research institutions, funding agencies, libraries, archives and museums need to consider.

### **Goals**

Our mission of disseminating knowledge is only half complete if the information is not made widely and readily available to society. New possibilities of knowledge dissemination not only through the classical form but also and increasingly through the open access paradigm via the Internet have to be supported. We define open access as a comprehensive source of human knowledge and cultural heritage that has been approved by the scientific community.

In order to realize the vision of a global and accessible representation of knowledge, the future Web has to be sustainable, interactive, and transparent. Content and software tools must be openly accessible and compatible.

### **Definition of an Open Access Contribution**

Establishing open access as a worthwhile procedure ideally requires the active commitment of each and every individual producer of scientific knowledge and holder of cultural heritage. Open access contributions include original scientific research results, raw data and metadata, source materials, digital representations of pictorial and graphical materials and scholarly multimedia material.

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Open access contributions must satisfy two conditions:

1. The author(s) and right holder(s) of such contributions grant(s) to all users a free, irrevocable, worldwide, right of access to, and a license to copy, use, distribute, transmit and display the work publicly and to make and distribute derivative works, in any digital medium for any responsible purpose, subject to proper attribution of authorship (community standards, will continue to provide the mechanism for enforcement of proper attribution and responsible use of the published work, as they do now), as well as the right to make small numbers of printed copies for their personal use.
2. A complete version of the work and all supplemental materials, including a copy of the permission as stated above, in an appropriate standard electronic format is deposited (and thus published) in at least one online repository using suitable technical standards (such as the Open Archive definitions) that is supported and maintained by an academic institution, scholarly society, government agency, or other well established organization that seeks to enable open access, unrestricted distribution, inter operability, and long-term archiving.

### **Supporting the Transition to the Electronic Open Access Paradigm**

Our organizations are interested in the further promotion of the new open access paradigm to gain the most benefit for science and society. Therefore, we intend to make progress by

encouraging our researchers/grant recipients to publish their work according to the principles of the open access paradigm.

encouraging the holders of cultural heritage to support open access by providing their resources on the Internet.

developing means and ways to evaluate open access contributions and online journals in order to maintain the standards of quality assurance and good scientific practice.

advocating that open access publication be recognized in promotion and tenure evaluation.

advocating the intrinsic merit of contributions to an open access infrastructure by software tool development, content provision, metadata creation, or the publication of individual articles.

We realize that the process of moving to open access changes the dissemination of knowledge with respect to legal and financial aspects. Our organizations aim to find solutions that support further development of the existing legal and financial frameworks in order to facilitate optimal use and access.

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**Signatories:**

**On behalf of the German research organisations (in alphabetical order):**

Hans-Jörg Bullinger President of the Fraunhofer Society	22 October 2003
Karl Max Einhäupl Chairman des Wissenschaftsrates	22 October 2003
Peter Gaehtgens President of the Hochschulrektorenkonferenz	22 October 2003
Peter Gruss President of the Max Planck Society	22 October 2003
Hans-Olaf Henkel President Leibniz Association	22 October 2003
Walter Kröll President Helmholtz Association	22 October 2003
Ernst-Ludwig Winnacker President German Research Foundation	22 October 2003

**Further national & international Signatories:**

Bernard Larrouturou Director General, Centre National de la Recherche Scientifique (CNRS)	22 October 2003
Jürgen Mittelstraß President, Academia Europaea	22 October 2003
Paolo Galluzzi Director, Istituto e Museo di Storia della Scienza, Florence	22 October 2003
Christian Bréchet Director General, Institut National de la Santé et de la Recherche Médicale (INSERM)	22 October 2003
Yehuda Elkana President and Rector, Central European University, Budapest	22 October 2003
Jean-Claude Guédon Open Society Institute	22 October 2003
Martin Roth Director General, Staatliche Kunstsammlungen, Dresden	22 October 2003

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Friedrich Geisselmann Head of the Deutscher Bibliotheksverband	22 October 2003
José Miguel Ruano Leon Minister of Education, Cultura y Deportes Gobierno de Canarias	22 October 2003
Dieter Simon President, Berlin-Brandenburg Academy of Sciences and Humanities	22 October 2003
Jens Braarvig Director, Norwegian Institute of Palaeography and Historical Philology	22 October 2003
Peter Schirmbacher CEO of the Deutsche Initiative für Netzwerkinformation	22 October 2003

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Status 22 October 2003 (conference end)

The actual status of signatories can be viewed at <http://www.zim.mpg.de/openaccess-berlin/signatories.html>

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### Budapest Open Access Initiative

An old tradition and a new technology have converged to make possible an unprecedented public good. The old tradition is the willingness of scientists and scholars to publish the fruits of their research in scholarly journals without payment, for the sake of inquiry and knowledge. The new technology is the internet. The public good they make possible is the world-wide electronic distribution of the peer-reviewed journal literature and completely free and unrestricted access to it by all scientists, scholars, teachers, students, and other curious minds. Removing access barriers to this literature will accelerate research, enrich education, share the learning of the rich with the poor and the poor with the rich, make this literature as useful as it can be, and lay the foundation for uniting humanity in a common intellectual conversation and quest for knowledge.

For various reasons, this kind of free and unrestricted online availability, which we will call **open access**, has so far been limited to small portions of the journal literature. But even in these limited collections, many different initiatives have shown that open access is economically feasible, that it gives readers extraordinary power to find and make use of relevant literature, and that it gives authors and their works [vast and measurable](#) new [visibility, readership](#), and [impact](#). To secure these benefits for all, we call on all interested institutions and individuals to help open up access to the rest of this literature and remove the barriers, especially the price barriers, that stand in the way. The more who join the effort to advance this cause, the sooner we will all enjoy the benefits of open access.

The literature that should be freely accessible online is that which scholars give to the world without expectation of payment. Primarily, this category encompasses their peer-reviewed journal articles, but it also includes any unreviewed preprints that they might wish to put online for comment or to alert colleagues to important research findings. There are many degrees and kinds of wider and easier access to this literature. By "open access" to this 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 these 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.** The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited.

While the peer-reviewed journal literature should be accessible online without cost to readers, it is not costless to produce. However, experiments show that the [overall costs](#) of providing open access to this literature are far lower than the costs of traditional forms of dissemination. With such an opportunity to save money and expand the scope of dissemination at the same time, there is today a strong incentive for professional associations, universities, libraries, foundations, and others to embrace open access as a means of advancing their missions. Achieving open access will require new cost recovery models and financing mechanisms, but the significantly lower overall cost of dissemination is a reason to be confident that the goal is attainable and not merely preferable or utopian.

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To achieve open access to scholarly journal literature, we recommend two complementary strategies.

I. [Self-Archiving](#): First, scholars need the [tools and assistance](#) to deposit their refereed journal articles in open electronic archives, a practice commonly called, self-archiving. When these archives conform to standards created by the [Open Archives Initiative](#), then search engines and other tools can treat the separate archives as one. Users then need not know which archives exist or where they are located in order to find and make use of their contents.

II. [Open-access Journals](#): Second, scholars need the means to launch a new generation of journals committed to open access, and to help existing journals that elect to make the transition to open access. Because journal articles should be disseminated as widely as possible, these new journals will no longer invoke copyright to restrict access to and use of the material they publish. Instead they will use copyright and other tools to ensure permanent open access to all the articles they publish. Because price is a barrier to access, these new journals will not charge subscription or access fees, and will turn to other methods for covering their expenses. There are many alternative sources of funds for this purpose, including the foundations and governments that fund research, the universities and laboratories that employ researchers, endowments set up by discipline or institution, friends of the cause of open access, profits from the sale of add-ons to the basic texts, funds freed up by the demise or cancellation of journals charging traditional subscription or access fees, or even contributions from the researchers themselves. There is no need to favor one of these solutions over the others for all disciplines or nations, and no need to stop looking for other, creative alternatives.

Open access to peer-reviewed journal literature is the goal. **Self-archiving (I.)** and a new generation of **open-access journals (II.)** are the ways to attain this goal. They are not only direct and effective means to this end, they are within the reach of scholars themselves, immediately, and need not wait on changes brought about by markets or legislation. While we endorse the two strategies just outlined, we also encourage experimentation with further ways to make the transition from the present methods of dissemination to open access. Flexibility, experimentation, and adaptation to local circumstances are the best ways to assure that progress in diverse settings will be rapid, secure, and long-lived.

The [Open Society Institute](#), the foundation network founded by philanthropist George Soros, is committed to providing initial help and funding to realize this goal. It will use its resources and influence to extend and promote institutional self-archiving, to launch new open-access journals, and to help an open-access journal system become economically self-sustaining. While the Open Society Institute's commitment and resources are substantial, this initiative is very much in need of other organizations to lend their effort and resources.

We invite governments, universities, libraries, journal editors, publishers, foundations, learned societies, professional associations, and individual scholars who share our vision to join us in the task of removing the barriers to open access and building a future in which research and education in every part of the world are that much more free to flourish.

February 14, 2002

Budapest, Hungary

Läs mer på: [www.budapestopenaccessinitiative.org](http://www.budapestopenaccessinitiative.org)

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### Definitioner

Parallellpublicering – att göra en digital kopia av vetenskaplig artikel eller annan publikation fritt tillgänglig i t.ex. ett öppet arkiv.

### Registrering och fulltextpublicering

Digitala Vetenskapliga Arkivet, DiVA, är ett öppet arkiv och en publiceringsplattform för registrering av bibliografiska data och fulltextpublicering av artiklar, monografier m.m.

Genom Nationalmuseums medlemskap i DiVA kan bibliografiska data om de publikationer som författats av museets anställda tillgängliggöras på webben och göras sökbara där. Publikationerna kan även fulltextpubliceras i DiVA inom ramen för rådande upphovsrättslagstiftning.

Artiklar av andra författare än anställda vid museet kan också registreras och publiceras i DiVA i de fall artiklarna ingår i en publikation utgiven av Nationalmuseum.

Registrering av bibliografiska data samt fulltextpublicering utförs av Konstbibliotekets personal.

Författare rekommenderas att skaffa ett s.k. ORCID-ID för att i DiVA undvika dubblering av poster.

Ett ORCID-ID är en unik permanent identifikator kopplat till en viss författares identitet.

Identifikatorn skapar författaren själv på [www.orcid.org](http://www.orcid.org).

Referenser till de bibliografiska data som registreras i DiVA sammanställs i SwePub som även ger en direktlänk till fulltextpubliceringen där sådan existerar. SwePub är en tjänst som hämtar poster för vetenskapliga publikationer från lärosätens och myndigheters publiceringsdatabaser och gör posterna tillgängliga för sökning och hämtning till andra tjänster. SwePub förvaltas och utvecklas av Kungliga biblioteket. [www.swepub.se](http://www.swepub.se)