

Open access, transition models and scholarly communications in Germany



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Overview

- Open access in Germany: many players, few coordinated activities
 1. The role of research organisations
 2. The role of universities and university libraries
 3. The role of academics and scientists
 4. The role of publishing houses
- Funding transition models
 1. Partnering with scientific societies
 - German Medical Science* – a community based open access journal family
 2. Partnering with institutions
 - DissOnline* – a means to acquaint young researchers with open access
 3. Partnering with publishers
 - National licensing* – open access only for some?
- Outlook on DFG's strategy and funding priorities through 2015

OA in Germany – The Alliance of Research Organisations (I)

- **Max Planck Society**

MP Digital Library, integrates a scholarly workbench as environment for electronic publishing, but is also intended as the society's repository



- **Helmholtz Association**

recently required researchers to mark-up OA publications in their bibliographies



- **Leibniz Association**

puts special emphasis on OA to research data



OA in Germany – The Alliance of Research Organisations (II)

- **German Rector's Conference**

organises workshops to influence the university's top management



- **Fraunhofer Gesellschaft**

considers concepts for implementing the green way; the Gesellschaft's repository shall be developed in close collaboration with the MPG



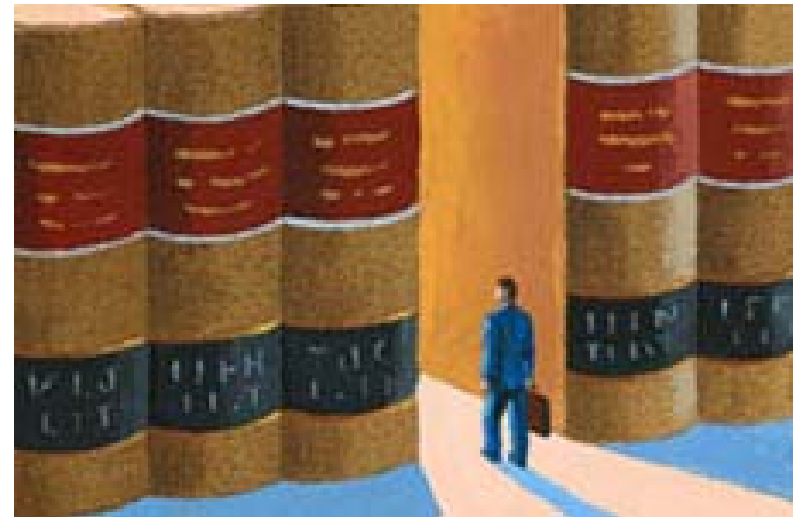
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funds projects e.g. for establishing open access journals, developing business models or building up a network of repositories



OA in Germany – The Alliance of Research Organisations (III)

- As signatories of the „Berlin Declaration“, the research organisations are **all actively involved** in promoting open access.
 - Their **open access representatives** meet at least twice a year.
 - At the moment, the organisation's representatives prepare a **special issue of the journal „Wissenschaftsmanagement“** on open access.
- **For the future, a better division of labour according to the respective areas of expertise is needed.**



OA in Germany – Universities, University Libraries (I)

- The **university libraries** are the **driving forces** behind open access; researchers are rather seldom actively involved in promoting open access.
- The **focus of library activities** often lies **on electronic dissertations**, conference proceedings, series of monographs – the typical products of a university press –, not on the peer-reviewed journal literature.
- Of some universities I contacted via e-mail, only 4 had an **open access policy** issued in summer 2006. 9 further universities worked on implementing a policy, further 7 had no intention of issuing a policy.
- By judging from the universities' **web pages**, the topic „open access“ is not dealt with very prominently.
- Libraries offer **services** for academics and scientists with tutorials, introductory classes, guides and with uploading documents into repositories.
- 4 libraries reported they worked on **interlinking their institutions' research databases** and annual reports **with the open access full texts**.

OA in Germany – Universities, University Libraries (II)

- Apart from a membership with BioMed Central, libraries usually **do not support** researchers' open access publications **financially**.
 - For 2006, the University Library Konstanz **shares the financial burden** of BioMed Central author fees **with the faculty**.
 - Open access obviously had **no effect yet** on agreements with commercial publishers.
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- ➔ Since information matters, the DFG funds the building of a **central** open access information platform that is **supported by all research organisations** to address all relevant academic groups and thus raise the awareness.
 - ➔ Since **publication costs** are research costs, one has to look for effective and practicable ways of **sharing the burden** for open access publications.
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- ➔ **Institutions should learn from each other. At the moment, it seems as if every single university addresses the same questions than others did before. Why do they not take over best practices established elsewhere?**

OA in Germany – The role of academics and scientists

- Most academics and scientists are **not actively involved** in the (political) discussions about the on-going changes in scholarly communications.
 - Their liberal practices – they willingly send their latest research results around the world via e-mail – do not equally correspond with their willingness to engage themselves in contributing to a new e-publishing infrastructure.
 - Most researchers are **not prepared to pay author fees unless** they can **rely on additional funding**; the higher the fees, the more reluctance.
 - Researchers involved in actively promoting open access are often seen as those who do not really succeed in their respective subjects.
- ➔ There is a necessity to have researchers involved via their associations and societies.
- ➔ It is urgent to bring open access to the important *research* conferences.
- ➔ **The scientific societies should be involved and be asked to work on best discipline-specific practices for open access publishing on a European level.**

OA in Germany – The role of publishing houses

- The German landscape is defined by quite a number of small and medium-sized publishers many of whom focus on the humanities and the social sciences.
- Discussions and agreements were and are complicated due to a [controversial copyright reform which led to severe confrontations](#) between researchers and publishers.
- If cooperation plans are discussed, researchers as well as publishers are shy to make them public in the given situation.

Funding transition models I

Partnering with Societies – *German Medical Science* (I)

- German Medical Science (GMS) is the [electronic interdisciplinary portal of the Association of the Scientific Medical Societies \(AWMF\)](#) in Germany.
- GMS started in 2003 as a DFG-funded project and, with the support of the AWMF, became a [family of open access journals](#) in various fields of medical research.
- MOPS – the web-based Manuscript Operating System makes it possible for any interested specialist group to operate an own scientific publication organ.
- There are technical possibilities to upgrade the articles by linking them to high-resolution pictures, extensive charts, sounds, films, complete research databases and to integrate national and international reference databases.

Funding transition models I

Partnering with Societies – German Medical Science (II)

gms | german medical science - Microsoft Internet Explorer

Adresse <http://www.egms.de/en/>

Home | News | About | Contact | Imprint | Terms & Conditions | Help & FAQ | German

gms
german medical science

gms Portal

Welcome to German Medical Science

German Medical Science is an electronic portal (gms) and the interdisciplinary e-journal (GMS German Medical Science) of the Association of the Scientific Medical Societies in Germany (AWMF). Developed in cooperation with the German Institute of Medical Documentation and Information (DIMDI) and the German National Library of Medicine (ZB MED) it offers open access to medical articles that are high-ranking and quality reviewed. GMS German Medical Science offers all scientists from the field of medicine the possibility to publish their research results online. [More ...](#)

gms e-Journal

GMS German Medical Science - an Interdisciplinary Journal is an interdisciplinary e-journal for the entire field of medicine addressed to all those who work on and with scientific publications. Original papers and review articles that have passed through a peer review are published therein.

Step in ...

Meetings

It is possible to publish abstracts and full-texts of scientific meetings here. Here some [advice](#) on gms meetings, abstracts and full-text services.

Step in ...

Journals

Here you can find GMS German Medical Science - an Interdisciplinary Journal and the electronic journals of individual member associations of the Association of the Scientific Medical Societies in Germany (AWMF) under their own title with scientific original papers and surveys from each specific field of activity.

Step in ...

Reports

Here you find reports to current and final research work.

Step in ...

gms Navigation

- gms e-journal
- journals
- meetings
- reports

gms Services

- Subscribe
- Search Articles

gms Publication

- Submit a Paper
- Login
- Help
- Apply for a New Journal
- Apply for a New Meeting

gms Today

- 05-09-2006
23th Scientific Annual Meeting of the German Society of Phoniatrics & Pedaudiology online
- 01-09-2006
5th Annual Meeting of the German Medical Informatics, Biometry and Epidemiology Society (GMDS 2006) online
- 30-08-2006
New Journal GMS Krankenhaushygiene Interdisziplinär online

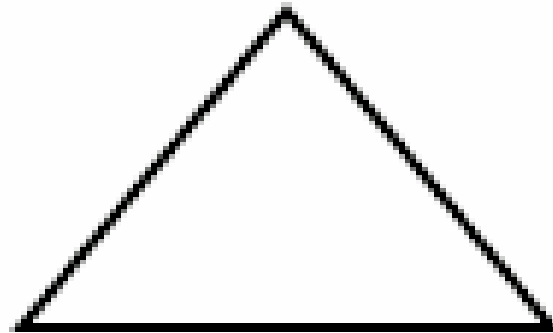
gms german medical science | The Portal of the Association of the Scientific Medical Societies in Germany | AWMF DIMDI ZB MED

Funding transition models I

Partnering with Societies – *German Medical Science* (III)

AMWF

The medical associations supply the editorial boards, the scientific committees and the experts for the peer review process.



ZB MED

The German National Library of Medicine is responsible for the editorial work.

DIMDI

The German Institute of Medical Documentation and Information is responsible for the technical implementation and the long-term archiving.

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Funding transition models I

Partnering with Societies – *German Medical Science* (IV)

- A new business model – *community pays*.
 - Foundation of a non-profit corporation (gGmbH).
 - The single medical societies pay for the use of the publication platform, the societies themselves are *financed by membership fees*. Thus costs are carried by the primary users be they authors, be they readers.
 - Additional income from the sources you would expect: publication of conference proceedings, ads, donations.
 - *Authors can be obliged to transfer publication grants to the medical societies.*
 - ZB MED and DIMDI are legally obliged to be responsible for the professional delivering of information to professionals.
- **Could such a model be transferred to disciplines with a very different structure of societies and associations?**

Funding transition models II

Partnering with institutions – DissOnline (I)

- DissOnline started as an initiative from the scientific societies (IuK Initiative) as early as 1998 and was realised with the help of a DFG grant.
- DissOnline is the major repository for online theses and dissertations in Germany.
- DissOnline enables accessing more than 37.000 electronic theses from about 80 German universities.
- DissOnline provides much information for young researchers who want to publish their theses electronically concerning formats, standards, metadata, legal framework.
- At the moment, the DFG funds a project to build up an infrastructure that allows for refined searches and provides mostly discipline-specific tools and facilities.



Funding transition models II

Partnering with institutions – DissOnline (II)

The role of all players is clearly defined:

Young researchers

- transfer right to publish their theses to the library
- retain some rights in regard to future publications
- provide electronic texts and metadata in standardized formats

Local libraries

- are responsible for establishing an infrastructure for digital theses
- develop local routines (cooperating with local computer centers)
- host certified e-archives
- register electronic dissertations with the German National Library in Frankfurt

The German National Library

- provides the central infrastructure
- collects, archives, provides metadata to all on-line dissertations centrally
- provides sophisticated search tools

Funding transition models II

Partnering with institutions – DissOnline (III)

Lessons learned / Lessons to learn

- DissOnline succeeded because **scientific associations and societies (IuK) were involved** in the original planning.
- The participating universities all have a **clear legal framework** for dealing with on-line dissertations.
- Interactions between the students, the local libraries and the national library were clearly defined.
- The project issued **recommendations for a standardized procedure** in dealing with e-theses; the National Library as central node offers advice on the problems of individual libraries.
- The „Koordinierungsstelle“ serves as **primary contact point** for the academic institutions, the local libraries, and – in some cases – the publishing houses; initiates cooperation between publishing institutions; recommends standards; gives advice in regard to establishing routines for on-line dissertations.

Funding transition models II

Partnering with institutions – DissOnline (IV)

Lessons learned / Lessons to learn

- In providing their theses to DissOnline, **young researchers** are made familiar with open access. They are offered **model contracts** that aim at retaining some copyrights (**awareness building**).
 - In order to reach acceptance of the repository, it is essential to **provide search-tools for a discipline-specific access**.
 - The repository's content needs to be **indexed by Google**; since DissOnline allows indexing by Google, every dissertation per average is accessed 18times per month.
- **For the future, it is a necessity to enable **searching in open access e-theses as provided by DissOnline and in e-theses from commercial publishers simultaneously**; search facilities need to extend to both.**

Funding transition models III

Partnering with publishers – National Licenses (I)

Goal:

- to improve the provision of scientific library services at German Universities with digital media

Prerequisite:

- purchase of national licenses for digital publications

Grant sum:

in 2004: DFG first provided funding of 5.9 million € for the purchase of national data access rights in the humanities and social sciences

in 2005: 21.5 million € for licenses for 30 large collections of literary works and publications and extensive volumes of journals and periodicals published in past years

Advantages:

- researchers, scientists and students **throughout Germany will enjoy free on-line access** to the databases and digital periodical archives of major international publishers
- progress towards the digitization of DFG-funded special collections



Funding transition models III

Partnering with publishers – National Licences (II)

Questions that remain:

- The digital objects are only licenced for academics and scientists that are occupied in publicly funded German institutions. It is certainly good for them to have free access to the digital objects – **but can this be called open access?**
- Do not forget that open access is not an end, but a means to enable a better scholarly communication.
- Shouldn't research organisations **try to licence electronic journals** and databases **on a multi-national level?**
- How to enable national licenses **also covering the running content?**
- If funding agencies are prepared to spend so much money for scholarly communication – shouldn't they require clear permissions for institutional depositing of articles contained in the journals concerned?

AWBI Strategy Meeting in October 2005: Plans for the Future

3 main areas of interest in regard to the funding programme
electronic publishing

Transformation of scholarly communication

Supporting the growing importance of informal communication through wikis, living documents, interactivity and multimedia; establishing measures of quality control also for informal communication.

Open Access

Open access publishing via open access journals should be supported as well as open access archiving. Societies should be involved in establishing and maintaining discipline-specific repositories.

Removal of barriers

Academics and scientists should be able to access the information relevant to their research with as few barriers as possible.



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Funding priorities through 2015

- DFG's main interest on **building a network of repositories**; each repository within the network shall be **certified according to DINI standards** (= certificate of the German Initiative for Networked Information DINI e.V.)
 - The single repositories need to be **attractive to researchers**; the attraction is seen in **additional services** e.g. usage statistics, citation services that only make sense on a multinational basis.
 - The repositories' content needs to be **accessible via a multitude of reference instruments**, be they library catalogues, virtual subject libraries or search engines.
 - Open access content and commercial content need to be found simultaneously via the same reference and accessing instruments.
 - The German repositories shall be closely **interconnected with the DRIVER** infrastructure in order to promote the European research area.
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- ➔ To carry out specific projects, the number of people involved into preparing grant proposals and carrying out the projects definitely needs to be increased.
 - ➔ Institutions need to find ways to better collaborate beyond institutional boundaries; exchanging / cross-financing of experts might be a necessity for short-term projects.

Deutsche
Forschungsgemeinschaft

Thank you very much for your attention!

Questions welcome

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▶ Weitere Informationen unter:
www.dfg.de/lis

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