

# Open Access: gestern – heute - morgen

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[sic!] Jülich – Helmholtz Open Science Workshop 2014  
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MAX PLANCK  
digital library

# Übersicht

## Open Access: gestern – heute - morgen

1. Anfänge und Durchbruch von Open Access
  - Erzählstränge
  - Meilensteine & Deklarationen
  
2. Markante Entwicklungen in den letzten 10 Jahren
  - Ein Blick auf die verschiedenen Akteure & Jurisdiktionen
  
3. Zwischenbilanz (“heute”)
  - 10 Jahre Berliner Erklärung
  - Zahlen & Fakten
  
4. Ausblick (“morgen”)
  - Anstehende Herausforderungen

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# Erzählstränge am Anfang von Open Access

- a) Die Zeitschriftenkrise – die berechtigte Klage der Bibliotheken
- b) Die Übertragung des Urheberrechts – die kritische Frage der Wissenschaftler
- c) Die Versprechen von Internet und Digitalisierung – die neuen Visionen

# Der Durchbruch von Open Access: Meilensteine & Deklarationen

## a) Budapest (Februar 2002)

- Kleiner Kreis von nur 16 Personen
- Skizzierung des grünen und goldenen Weges
- Betonung von Zugang sowie Beschränkung auf „peer-reviewed literature“

## b) Bethesda (Juni 2003)

- Kleine Gruppe Lebenswissenschaften; eher intern rein U.S.;
- Erweiterung Perspektive auf Nachnutzung („to make and distribute derivative works“)

## c) Berlin (Oktober 2003)

- Bewusst vorbereitet als große internationale Tagung mit maximaler Öffentlichkeitswirkung (ca. 300 Teilnehmer; viele Vorträge)
- Zugang & Nachnutzung & Erweiterung Humanities (cultural heritage)
- Betont wird das Prinzip des Internet („full exploitation of the internet“)
- Von vorherein angelegt als Prozess mit (jährlichen) Folgekonferenzen
- Ausbau des grünen und goldenen Weges

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# Open Access in Germany



Many green and gold Open Access activities are being organized, with policy and funding support from the German Research Foundation; recently more pronounced leaning towards Gold OA publishing; no major role of German government so far.



## Funding program of the German Research Foundation

To help German universities to establish an OA Gold publication budget (25+ universities funded so far)

2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017
------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------

Oct

*Berlin Declaration* on Open Access introduced by Max Planck Society (currently 472 signatories from around the world; annual follow-up conferences on all continents)

Nov

10<sup>th</sup> Anniversary Conference of the Berlin Declaration with new mission statement

# Open Access in the European Union



The FP7 framework (2007-2013) collected evidence and created an observatory on Open Access; the new funding program Horizon 2020 (2014-2020) is establishing a firm OA mandate for all EU funded research; the member states are called upon to develop similar directives.

**FP7**

**Horizon 2020**

## Open Access Pilot

Pilot action based on best effort self-archiving (green road); applied to 7 areas with allowing 6/12-month embargo; infrastructure via *OpenAIRE* (OA Infrastr. for Res. in Europe)

## PEER (Publishing and the Ecology of European Research)

Study on the effects of self-archiving on the usage and viability of journals (green road)

## SOAP (Study of OA Publishing)

Study on the market and business models of Open Access journals and on the attitudes of researchers (gold road)

## Open Access Mandate

Obligation to provide OA; all areas, allowed embargos 6/12 months; in addition: pilot for research data

2008 2009 2010 2011 2012 2013 2014 2015 2016 2017 2018 2019 2020

Jul

*Communication :*

„Towards better access to scientific information:  
Boosting the benefits of public investments in research”



# Open Access in the UK



Key elements of the Open Access debate in England are the Open Access Mandate of the Wellcome Trust since 2006, the policy statements of the Research Councils UK and the Finch Report published in June 2012.

**Open Access Mandate for Wellcome Trust funded papers**

**RCUK & universities:  
implementing the Finch  
recommendations**

**JISC APC  
Pilot**

One-year project to explore the handling of large-scale publication cost payments

2005    2006    2007    2008    2009    2010    2011    2012    2013    2014

Jun    Jul

**Finch Report**

Addressing the question of how to expand access to research publications in the UK: publications costs shall be covered for research results to be published gold or hybrid

Support expressed by British Government and Research Councils UK to all the conclusions in the report; appropriation of funding

# Science Europe on Open Access

Founded in 2011, Science Europe is an association of European Research Funding Organizations (RFO) and Research Performing Organizations (RPO), based in Brussels. As successor to the former European Heads of Research Councils (EUROHORCs), Science Europe is one of the most pronounced supporter of Open Access and wants it to become the "standard mode of publication."

**"The aim is a system of scientific publications in which free access to all (published) scientific information is guaranteed. This involves a move toward Full Open Access. Ultimately, this means replacing the present reader-paid publication system with an author- or institution-paid one."**

Next to the Berlin Declaration, this is one of the most ambitious Open Access policy statements

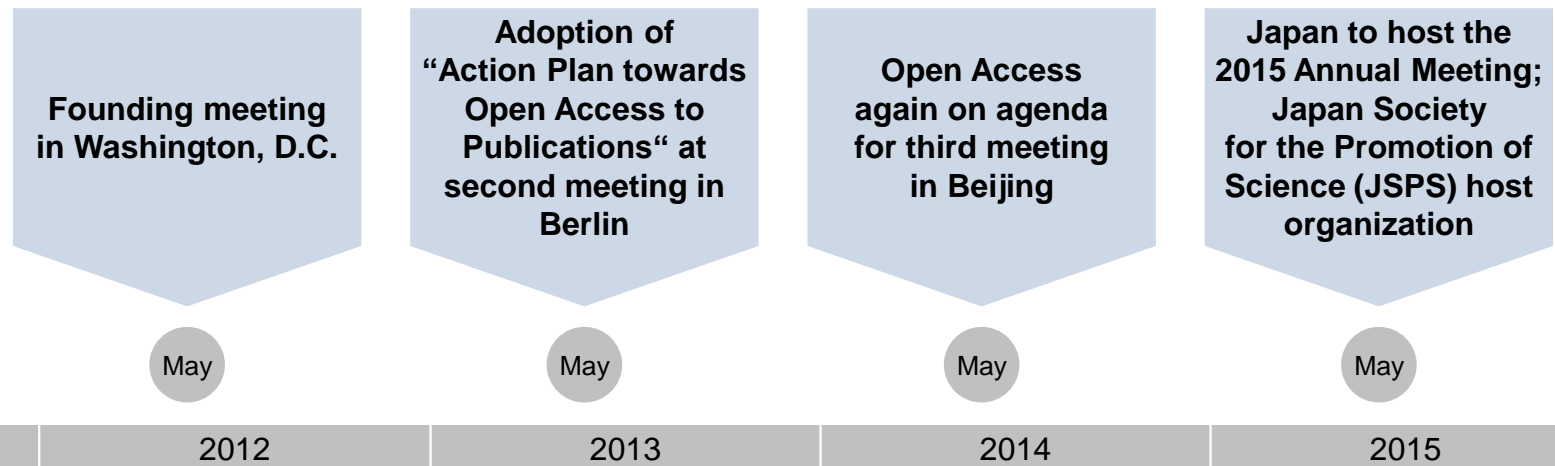
## Establishment of OA Working Group

Lead by Max Planck Society



# Global Research Council

Convening for the first time in 2012, the Global Research Council has immediately adopted Open Access as one of its key areas of activity and adopted an action plan for its members in 2013.



# Open Access in the USA



The debate in the U.S. is focusing on the green way to Open Access; the key instrument has been the National Institute of Health (NIH) mandates with the deposit request for PubMed Central; in February 2013 the White House has issued a new directive with still open results.

## 1<sup>st</sup> NIH Open Access Mandate

*Voluntary* deposit in PubMedCentral

## 2<sup>nd</sup> NIH Open Access Mandate

*Mandatory* deposit in PubMedCentral

vs.

### Legislative attempts in U.S. Congress to *remove* NIH mandate (all failed)

*Fair Copyright in Research Works Act (2006, 2008); Research Works Act (2011)*

### Legislative attempts in U.S. Congress to *extend* NIH mandate (all failed)

*Fed. Res. Public Access Act (2006; 2010); Fair Access to Science & Technology Res. Act (2013)*

## SPR

Scholarly Publishing Roundtable

2002   2003   2004   2005   2006   2007   2008   2009   2010   2011   2012   2013   2014

Feb

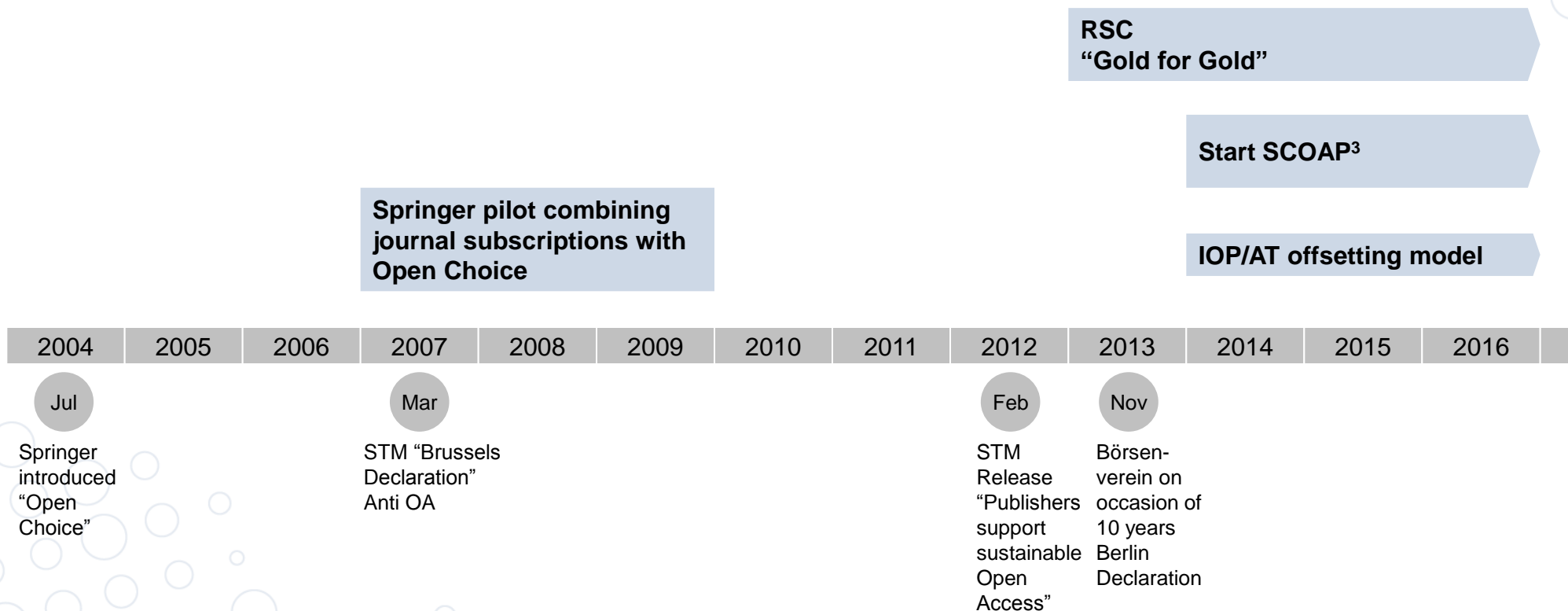
## Reactions

- a) NIH proposes to expand PubMed Central ("PubFed Central")
  - b) Universities propose SHARE: Scale up the existing institutional repositories to contain all research articles based on federal funding.
  - c) Publishers initiative CHORUS (Clearinghouse for the Open Research of the US): portal to journal articles resulting from agency funding
- Decision from White House still pending

**White House Office of Science and Technology Policy:** directive to federal agencies to develop public access plans within six months

# The Publishers

The publishers have come a long way in the Open Access debate and in their action. While their was strong resentment in the early years, most publishers now have their own line of Open Access journals. For many publishers, OA is now regarded as a viable business model.



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# 10 Jahre Berliner Erklärung („Berlin 11“, November 2013)

## Mission Statement ([http://openaccess.mpg.de/mission-statement\\_en](http://openaccess.mpg.de/mission-statement_en))

“In the ten years since, the signatories of the Berlin Declaration and many other organisations have fostered a remarkable growth of OA ... But still only about  
10% of peer-reviewed articles are published in OA journals.

We believe that the most important goal for the coming years is to **ensure that 90% of the scholarly research literature is published with an OA model**, in order to exploit the innovative and transformational potential of OA.

It is of paramount importance that this transition to OA must preserve or even **improve on the quality standards of the present subscription-based model**.

... We therefore urge research organisations to work together internationally and intensively to formulate a viable, coordinated and transparent strategy to enable a transition to a system where OA publishing is the norm. **This strategy should address the following key issues:**

**a. Standards, b. Quality, c. Stability, d. Transition**

... create coordinated and transparent policies and reward systems that **enable a smooth transition of the scholarly research literature according to an agreed roadmap**, from its present domination by subscription-based journals to the OA model outlined above. Such policies should include, for example, **progressive conversion of subscription funds into OA publishing funds** and enhanced recognition for OA publications.

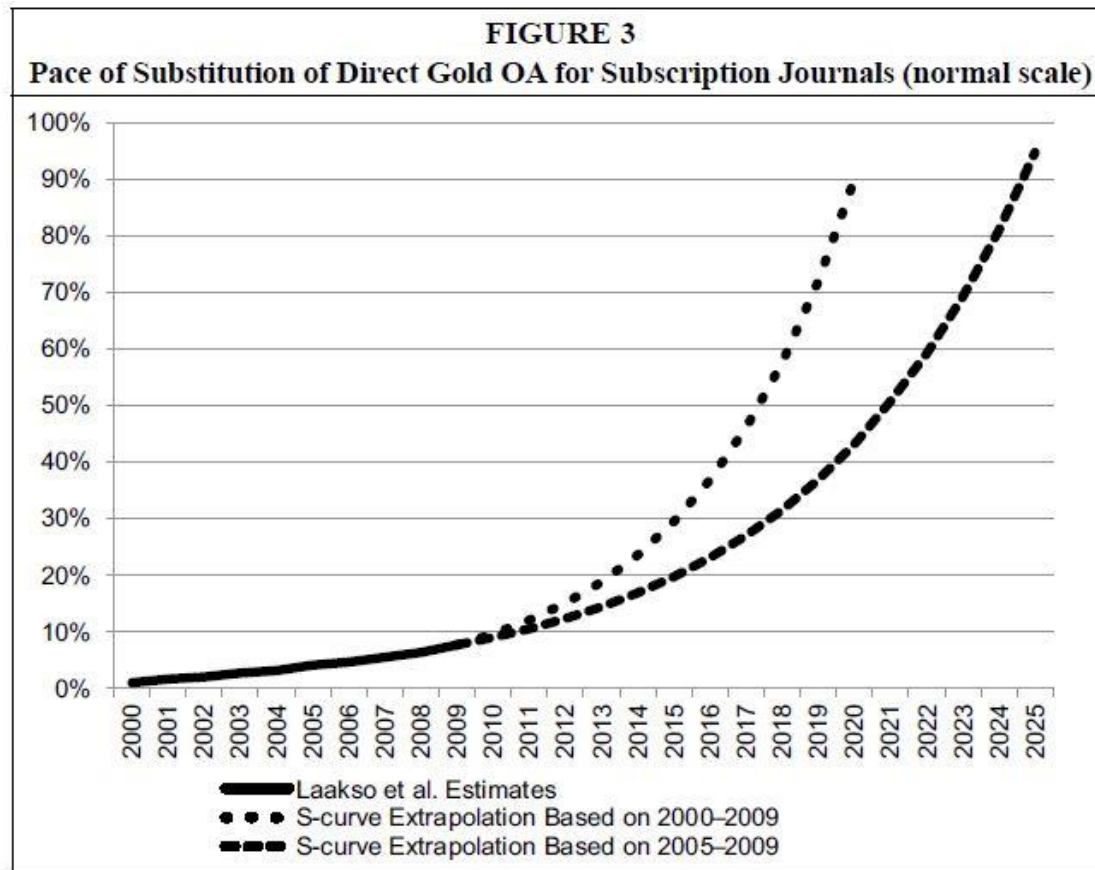
**“It is time to return control of scholarly publishing to the scholars.”**

## Laakso M, Welling P, Bukvova H, Nyman L, Björk B-C, et al. (2011) The Development of Open Access Journal Publishing from 1993 to 2009. PLoS ONE 6(6): e20961.

- Since the year 2000, the average annual growth rate has been 18% for the number of journals and 30% for the number of articles.
- In 2009 the share of articles in OA journals, of all peer reviewed journal articles, reached 7,7%.
- Overall, the results document a rapid growth in OA journal publishing over the last fifteen years.
- Based on the sampling results and qualitative data a division into three distinct periods is suggested: The Pioneering years (1993–1999), the Innovation years (2000–2004), and the Consolidation years (2005–2009).



# Open Access- eine disruptive Innovation?



**TABLE 1**  
Pace of Substitution of Direct Gold OA for Subscription Journals

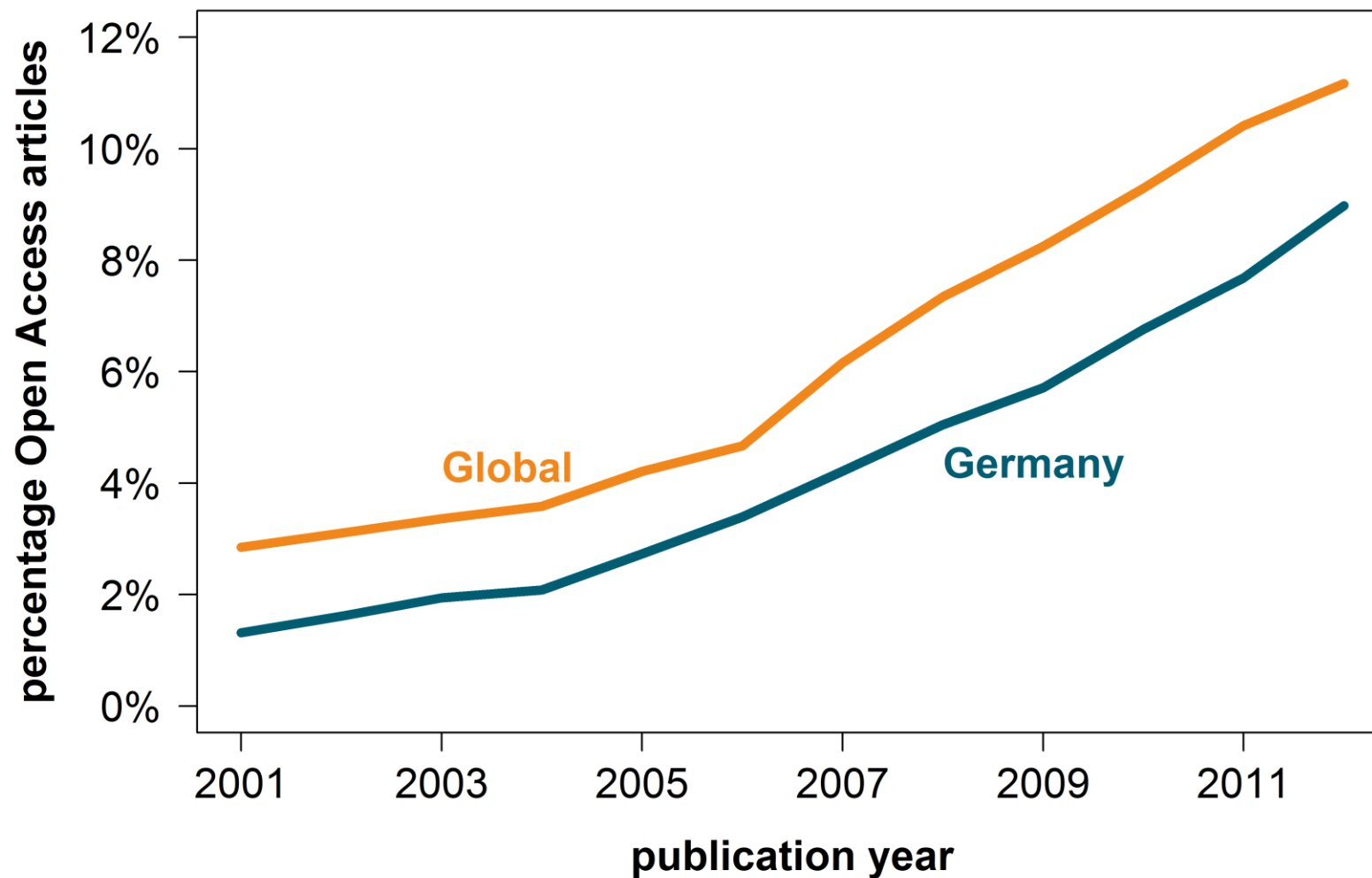
	Laakso et al. Estimate	Extrapolation Based of 2000-2009	Extrapolation Based of 2005-2009
2000	1.0%		
2001	1.7%		
2002	2.0%		
2003	2.7%		
2004	3.1%		
2005	4.1%		
2006	4.7%		
2007	5.5%		
2008	6.4%		
2009	7.7%		
2010		9.6%	9.0%
2011		12.1%	10.5%
2012		15.1%	12.3%
2013		18.8%	14.4%
2014		23.6%	16.9%
2015		29.4%	19.7%
2016		36.8%	23.1%
2017		46.0%	27.0%
2018		57.5%	31.6%
2019		72.0%	36.9%
2020		89.9%	43.2%
2021			50.7%
2022			59.2%
2023			69.2%
2024			80.9%
2025			94.6%

Lewis, David W. „The Inevitability of Open Access“. *College & Research Libraries* 73, Nr. 5 (9. Januar 2012): 493–506.

# Open Access Gold

share in Web of Science articles and reviews

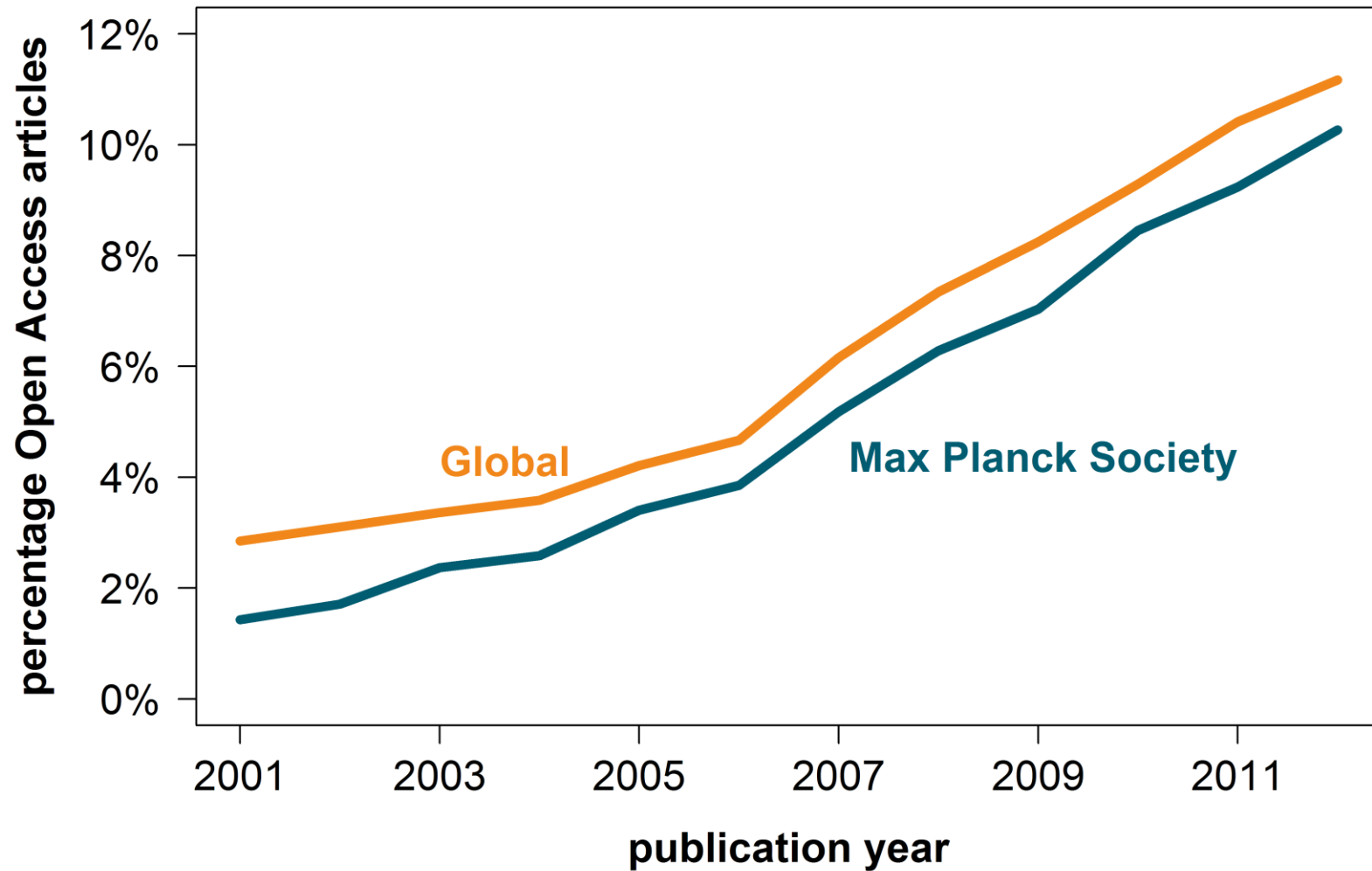
Publications



# Open Access Gold

share in Web of Science articles and reviews

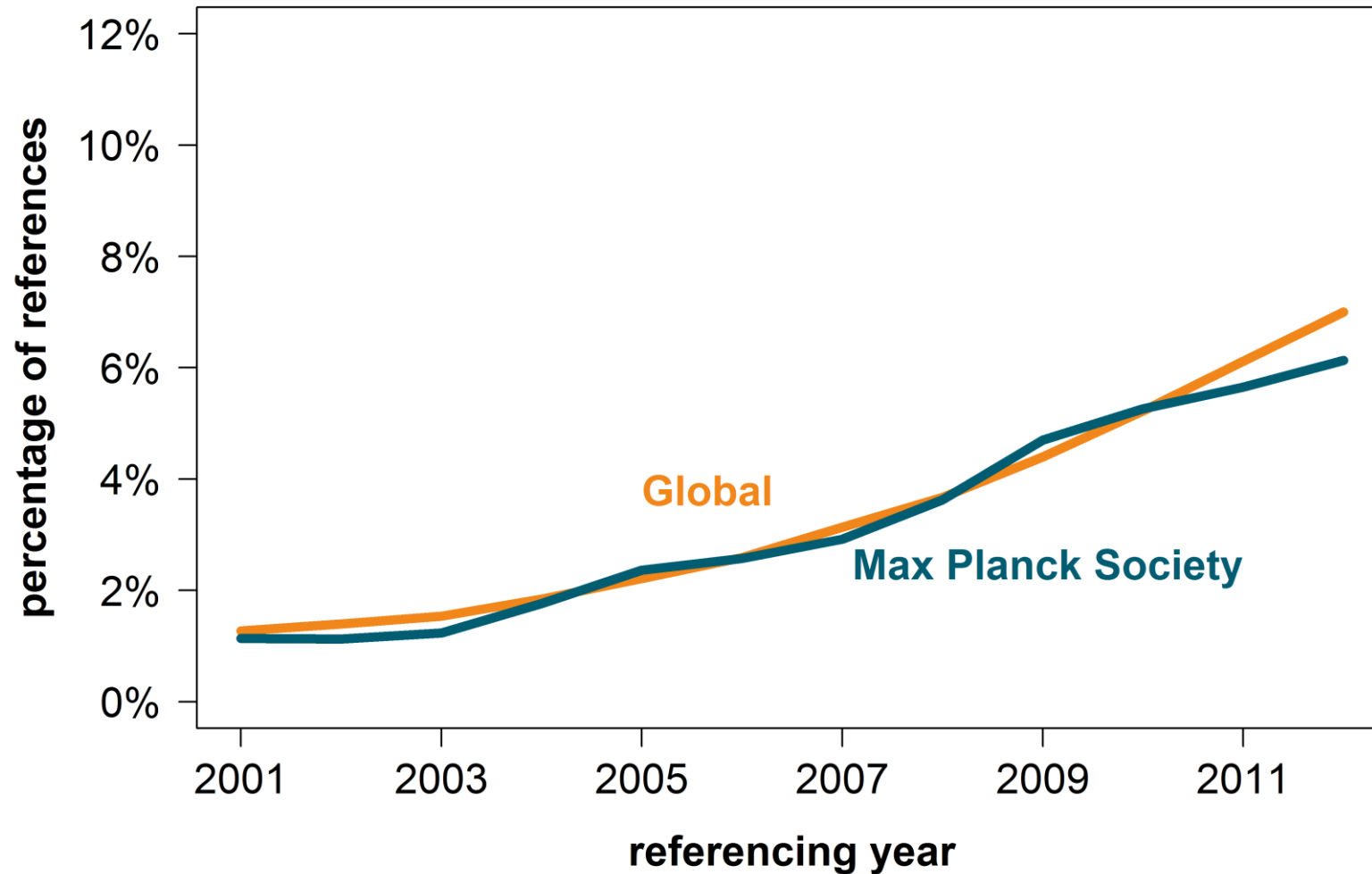
Publications



When we analyze the citation pattern of OA publications (based on a 3-year window), the Max Planck Society is even closer to the global trend line..

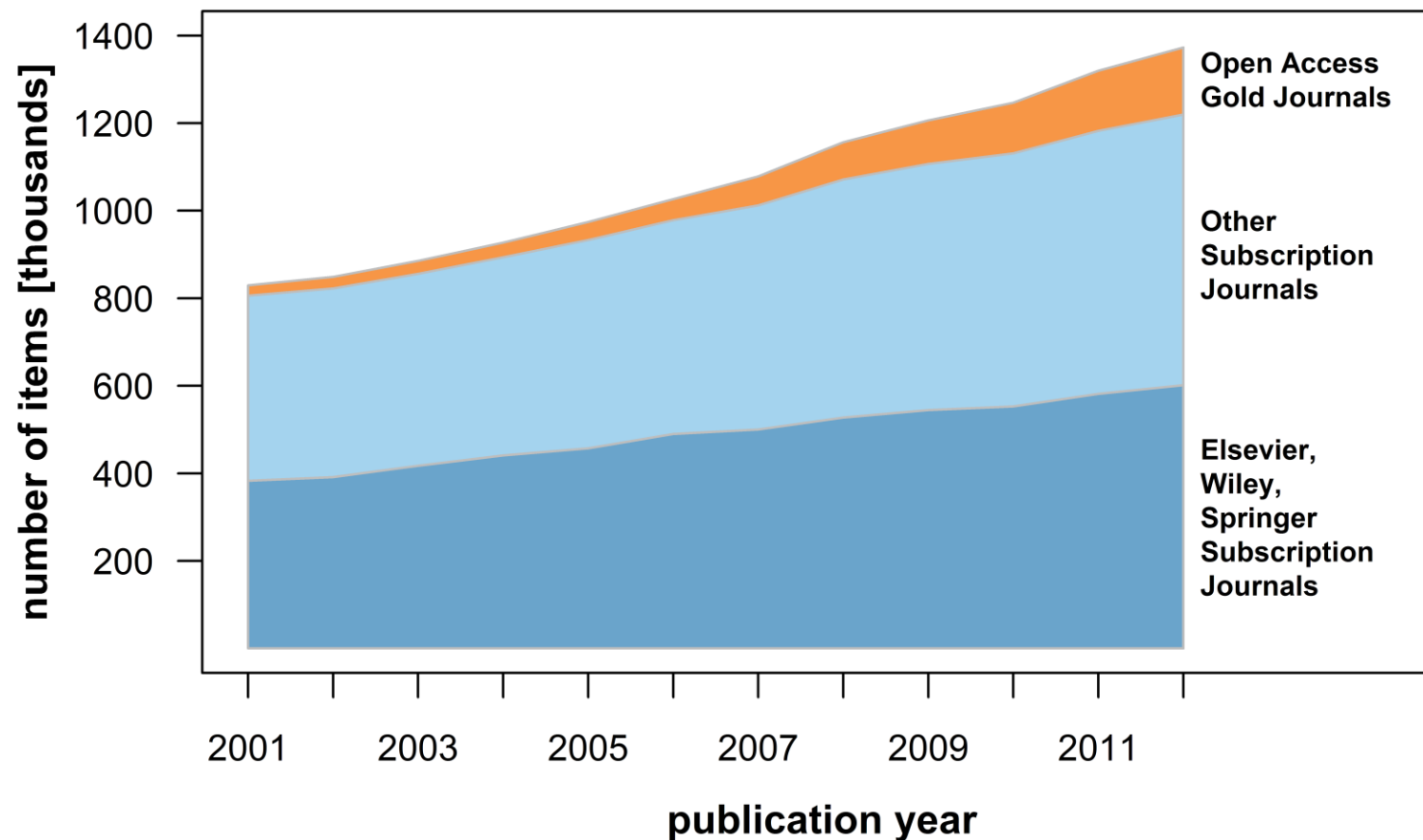
## Open Access Gold share in Web of Science references

Citations



## development of publication shares number of articles and reviews in Web of Science

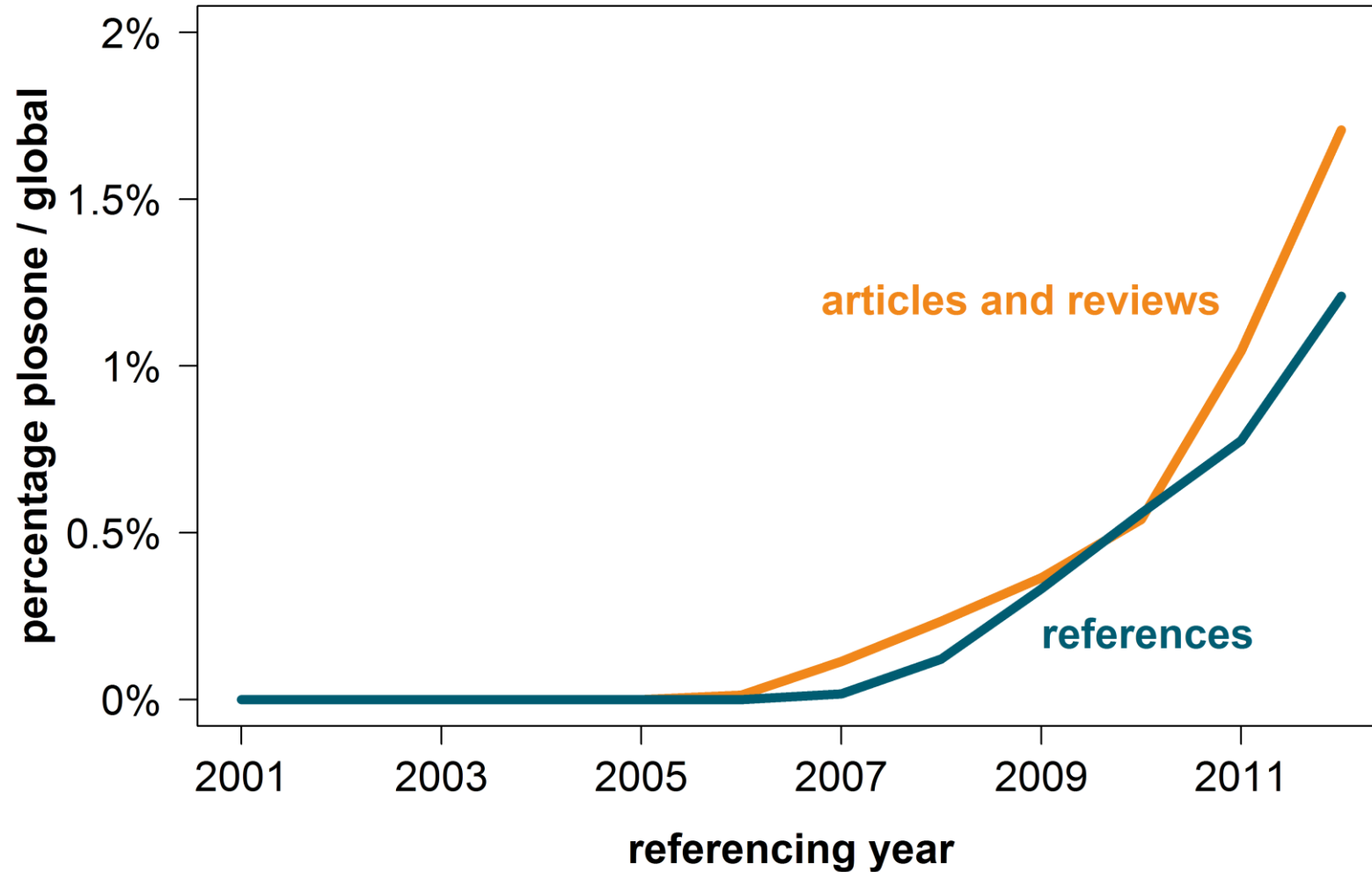
Publications



Open Access as most dynamic growth area; more than doubling in last years

# PLoS ONE

## share in Web of Science



# Übersicht

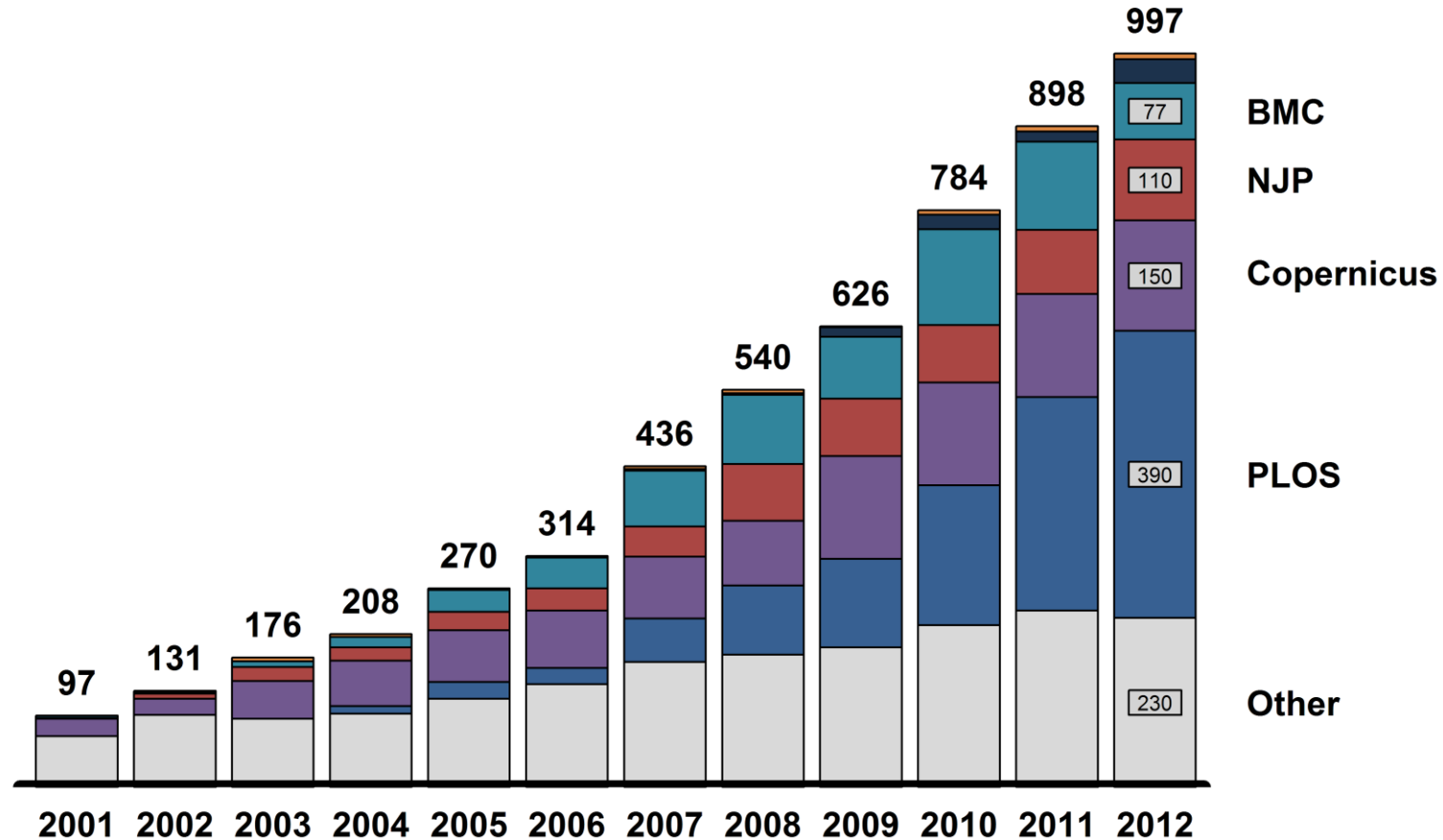
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For more than a decade now, the Max Planck Society has followed a centralized support scheme for APC payments. The rationale behind is to remove any administrative burden (getting invoice processed etc.) from the authors.

## MPG Published Articles - Open Access Gold

annual number of articles and reviews as indexed in Web of Science



The share of articles where MPG is bearing the costs is consistently in the range of 50-60% of articles across publishers. In the years 2009-2012, the average APC costs were in the range of 1,100 EUR per article.

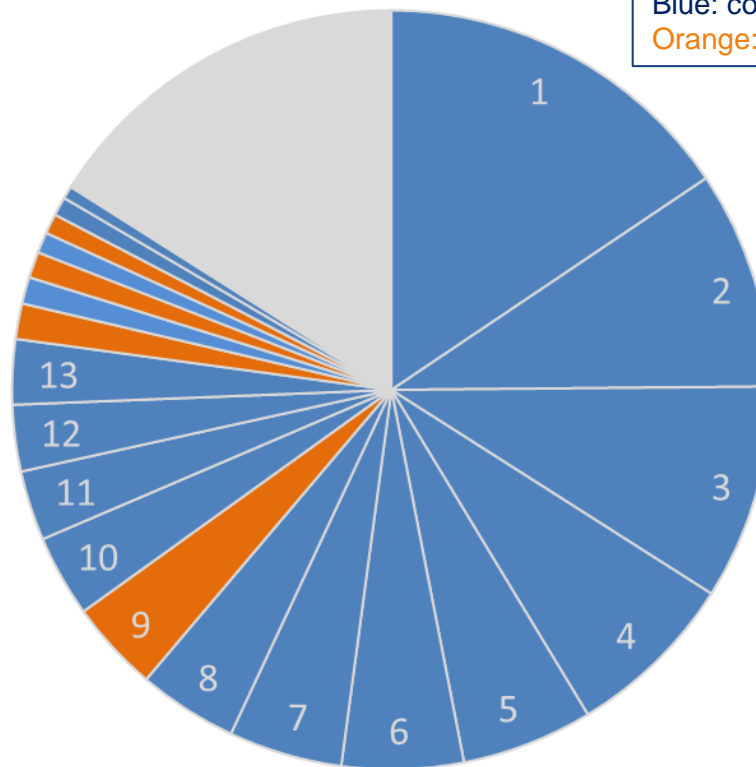


85% of all Max Planck Society article publications go to only 20 publishers. Among them are already 4 pure OA publishers. With this limited number of contractual relations, the vast majority of our output can be covered.

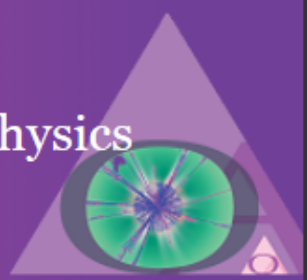
## MPG publications by provider / OA Gold articles and reviews in Web of Science 2012

Note:  
Blue: commercial & society publisher  
Orange: OA publisher

The 20 key providers of the Max Planck Society make up 85% of the article output; 4 of them are already OA publishers.



Source: MPDL analysis by Margit Palzenberger



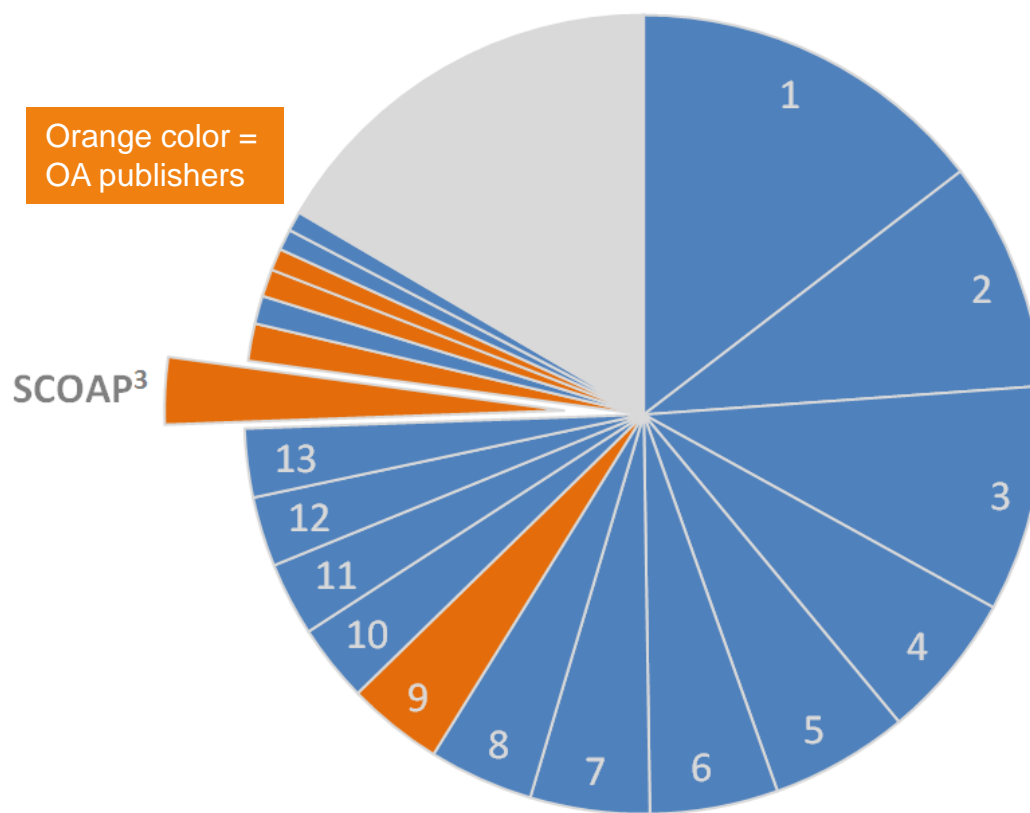
*in operation since 1 January 2014*

## SCOAP<sup>3</sup> as a groundbreaking OA conversion model

- Successful conversion of existing high-energy physics (HEP) journals from their previous subscription-based model to full open access, e.g.
  - Springer: *Journal of High-Energy Physics*; *European Physical Journal C*
  - Elsevier: *Nuclear Physics B*; *Physics Letters B*
- The services of publishers are fully acknowledged
  - Quality assurance in the publication process (peer review and editorial services)
  - Provision of the final published versions
- Payment streams to be re-directed from subscriptions to cover the publishing costs
  - Using the money that is already in the system
- Enormous effort and success of the library community worldwide
  - Libraries are key organizers of OA services and funding

## MPG publications by provider / OA Gold articles and reviews in Web of Science 2012

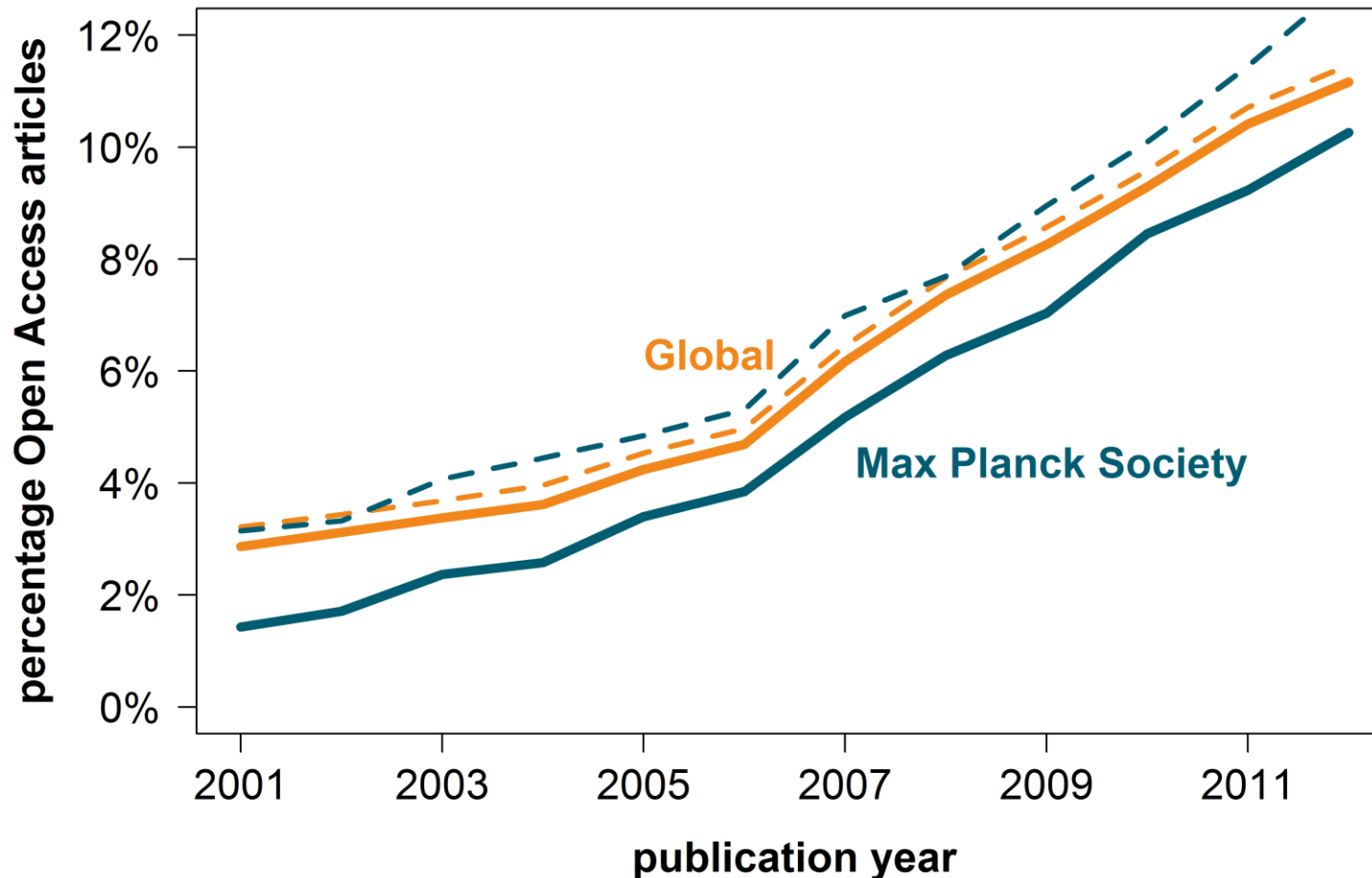
- This chart is re-calculating the MPG publishing output in 2012 by re-grouping SCOAP<sup>3</sup> content
- The relevance of SCOAP<sup>3</sup> can clearly be demonstrated
- Considered as a publisher in its own right, SCOAP<sup>3</sup> would immediately rank among our top 15 providers



## Calculating the effects of SCOAP<sup>3</sup>: article output

### Open Access Gold share in Web of Science articles and reviews

Publications



Note:

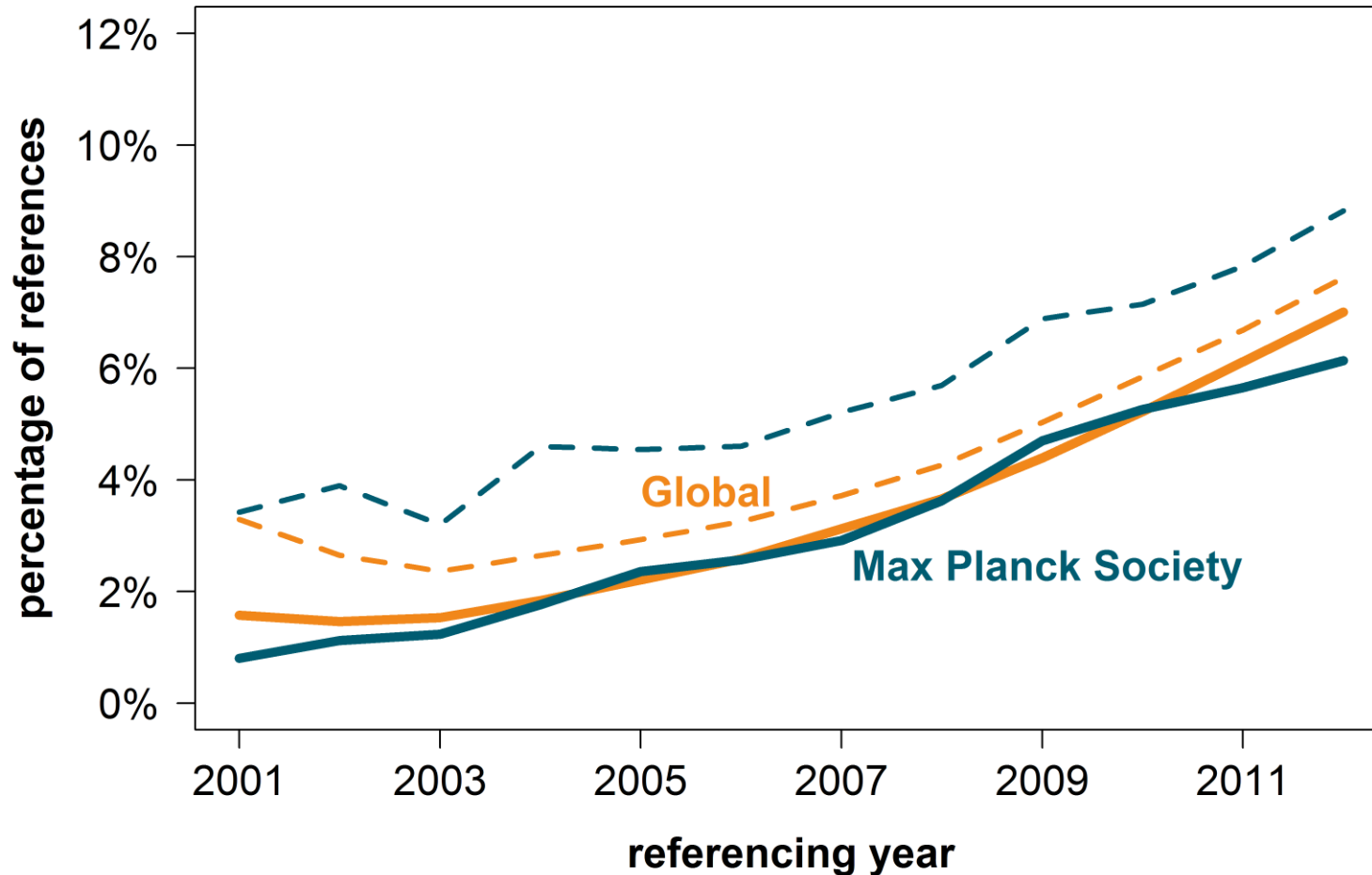
--- Including SCOAP<sup>3</sup> articles

Looking at the performance of SCOAP<sup>3</sup> content since 2001, this would put us above the global trend line in OA publishing.

# Calculating the effects of SCOAP<sup>3</sup>: references in MPG publications

## Open Access Gold share in Web of Science references

Citations

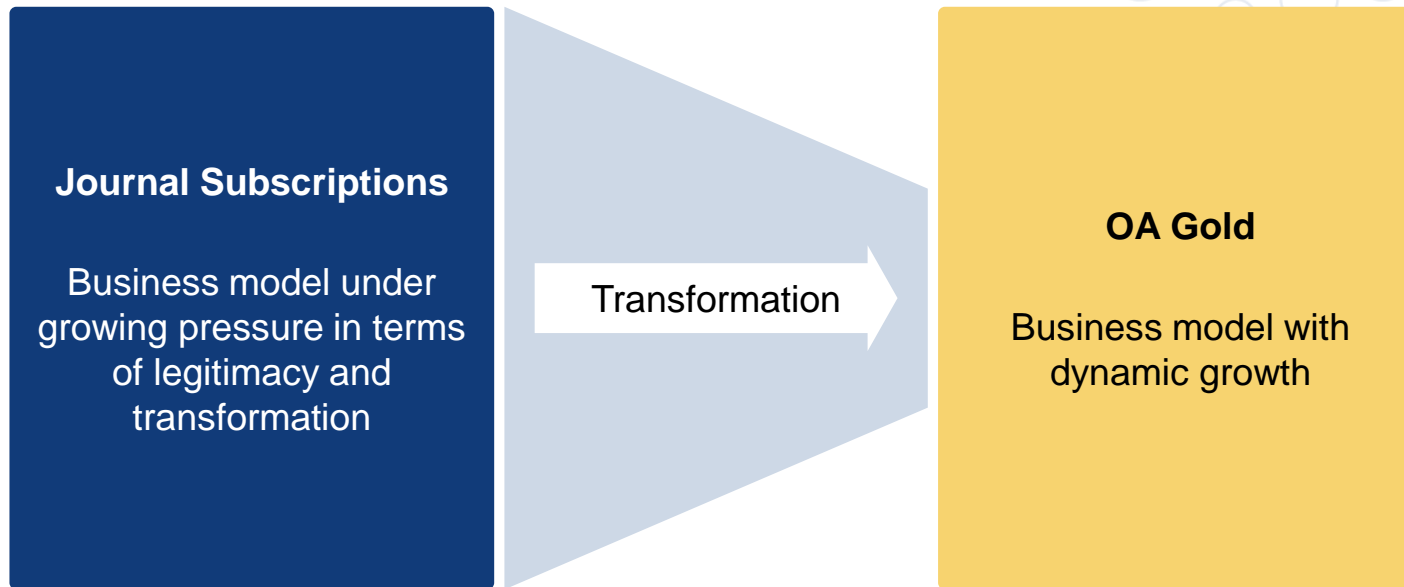


Note:

--- Including SCOAP<sup>3</sup> references

Looking at the citation performance of SCOAP<sup>3</sup> content since 2001, this effect is even stronger.

## The current existence of two realities with growing pressures toward OA



At the moment two distinct spheres of activity and funding but with growing pressures:

- transformation
- re-organization
- re-design of financial flows

**Providing new context –**  
for research institutions,  
publishers & libraries

# Ziel: Open Access-Transformation



## Peter Gruss

# „Open Access ist nicht zu stoppen“

MaxPlanckForschung 3/2013

*„Das Geld aus den bestehenden Abonnementbudgets muss überführt werden in Publikationsetats, aus denen dann die Veröffentlichungen der Autoren via Open Access finanziert werden.“*



**Strategie:**

**Verzahnung von Open Access und Lizenzen**



10. Kaufen, Leihen, Lizenzieren – Bestandsmanagement im Umbruch: neuen Welten  
neue Erwerbungs- und Lizenzierungsmodelle, Open Access. **Bookkartag**

3.–6. Juni 2014 | Messe und Congress Centrum Bremen



## IFLA World Library and Information Congress

80th IFLA General Conference and Assembly

16-22 August 2014, Lyon, France

News

About the Congress

Programme

Registration

Exhibition and Sponsorship

Travel, Accommodation & Tours

Call for Papers

Acquisition and Collection Development Section

“ **Theme:**  
*Open Access converging on Collection Development*

# Stehen wir an einer nächsten Schwelle?

## Wo kommt die nächste Beschleunigung her?

- Wir sehen viel Wachstum und Entwicklung...
- ...aber zugleich blieben die herrschenden Verhältnisse erstaunlich intakt.
- Vieles geht in die richtige Richtung
  - SCOAP3
  - RSC „Gold for Gold“
  - Offsetting Experimente
- ...doch die mächtigen Durchbrüche fehlen noch
- Viele Verlage, aber auch viele Bibliotheken betreiben noch “business as usual”
- Die Transformation kommt nicht von alleine, sondern muss durch viele kleinere und größere Maßnahmen herbeigeführt werden

*Vielen Dank für die Aufmerksamkeit!*

Dr Ralf Schimmer

mailto: [schimmer@mpdl.mpg.de](mailto:schimmer@mpdl.mpg.de)