The Open Access Strategy of the Max Planck Society

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Open Access to Research Findings
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The Max Planck Society for the Advancement of the Sciences is an independent, non-profit organization based in Germany.

Organized in 80 institutes dedicated to basic research in the areas of natural science, social science, the arts and humanities.

- Basic research in a wide range of research fields, complementary to universities, new, emerging areas of research, interdisciplinary.
- ~ 70 branch libraries, between < 1 and ~ 25 staff.
- No central library unit, administrative position at headquarter (contracting).
- Since 2001: Heinz Nixdorf Center for Information Management – dedicated to open access development.
The position of the Max Planck Society in this field

- The eInfo programme in the MPS is based upon a dual strategy:
  - 1st pillar: Information Provision: MPS wide access to databases and licensed full text information (some content will be locally loaded); transition to e-only contracts  
    = Traditional System of Information Provision
  - 2nd pillar: Open Access based Innovation in Scholarly Communication
    Institutional repository approach: eDoc → Open Access Platform Project
    Open Access Journals: e.g. Living Reviews
    Prepare and pursue roadmap for the paradigm shift to open access in the Max Planck Society  
    = Shaping the future of the scholarly communication system
“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.”

“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.”
- Signing the Berlin Declaration is only the beginning
- Continuous, open but focussed process of Berlin Signatories to realize the vision of the Declaration
- Regular, 6-monthly meetings of Berlin Signatories
  - 1st follow-up meeting at CERN, 12/13 May 2004
    → 1st Roadmap Proposal [www.zim.mpg.de/openacces-cern/](http://www.zim.mpg.de/openacces-cern/)
- Status reports, roadmap review, alliances for specific issues and mutual help
- Model for processes within World Summit for Information: Geneva 2003, Tunis 2005
The Open Access Strategy
- what we mean by open access -

- Immediate unconditional free electronic access to research results:
  - data, objects and primary scientific literature (papers/books) of scholarly interest (incl. artifacts of cultural heritage)
  - interlinking of research findings with underlying data
- Standards (interfaces, formats) that support connectivity and integration
- Copyright agreements which support open access – Open access license which dedicates work to public
- No compromise on quality: maintain good practice (like peer-review), complement and improve by new transparent and community specific approaches
- Ensure effective and persistent access through an open, sustainable, scalable and distributed infrastructure
Distributed work in Science and Humanities requires unlimited access to data and information (incl. Cultural heritage).

Ascertained quality assessment due to immediate access to primary source information interconnected with interpretation and secondary information.

Interactive scholarly communication and evaluation increase efficiency of knowledge generation:
- see e.g. Journal of Atmospheric Chemistry and Physics ACP

Unrestricted access to the global knowledge base reduces opportunity costs and risk of duplication.

Ensure maximal impact and use of research results, no longer discriminate use of information.

Unrestricted access supports emerging science at the crossings of traditional disciplines.

Data mining (unrestricted and innovative):
- Interdisciplinary relations (research)
- Accelerated networking (people, ideas, experiments)
- Seeding for technology transfer and secondary use of fundamental knowledge

Unrestricted access supports dialog between scholars and public/politics.
Open access is the replacement for the conventional scholarly communication paradigm and not its 2nd class counterpart

- Open Access requires long-term commitment
- The transition will take a significant time and involve transformations in the traditional library/scientific information provision system
  - Re-define role of Publishers - integrate publishers as service providers in competitive environment
- Create awareness: Scientists, Politics, Public & promote paradigm of open access as universal for scholarly activities
- Build global alliance of research and funding organizations committed to Open Access and network of open access resources and services
- Steering Committee at highest executive level
  - Chaired by vice president

- Open Access Policy Coordinator
  - Prepare Institutional Publishing Policy:
    1. Deposition in institutional repository
    2. Encourage publishing with open access journals
  - Internal Communication, Open Access Advocacy
  - Building alliance with Berlin signatories
  - Negotiations with publishers on open access license and policy

- Dedication of substantial funds in mid-term planning of organization to transition, open access development and continuous development and operation of infrastructure
Max Planck eDoc Server
Open Access through an Institutional Archive
Prototype system to explore the needs of scholars in a multi-disciplinary research organization conducting basic research

eDoc is introduced for regular reporting from all Max Planck Institutes (MPG Annual Report + X)

eDoc is one pillar of the Open Access Strategy of the Max Planck Society

eDoc 2 (2nd generation) is on the horizon and will be part of an open access platform for the MPS, modular, integrated technical system, sustainable and scalable central infrastructure with interfaces for local (global), discipline specific extensions
eDoc Server has been developed and is maintained centrally by ZIM, supported by a group of eDoc pilot Institutes ensuring that the system meets the needs of the institutes.

Content acquisition from researchers and quality management is done on institute level (in collections corresponding to organizational units):

- Institutes have to dedicate staff and time for depositing digital copies of research output and provide metadata.
- Institutes or departments have to decide on quality standards they want to apply (vary widely across disciplines).

High-level policy issues are addressed by Steering Committee for MPS eInfo Programme (chaired by Vice-President of Society):

- will review proposal on introduction of CC based license to regulate dissemination and re-use of works deposited via institutional repository (scheduled for Jul 04).

Provision of import and export Services for Integration with local and global (disciplinary!) systems and to support data reuse (production of web pages, reports to review boards etc.)
Introduction of eDoc was linked to the obligatory annual report – eDoc as the management tool for publication data of the institutes

- Immediate high visibility amongst all institutes
- Open Access advocacy and introduction of system was combined with pragmatic software solution for management of publication data – re-usability of data for reports

Current Usage:

- ~ 15,000 records on eDoc publicly visible
- ~ 2,600 including full texts / content
  
  public access: ~ 1700
  MPS wide access: ~ 200
  Institute / internal users: ~ 700

- Main Genres used:
  Articles, Posters, Conference Papers, Talks, Books, PhDThesis, Inbooks, Papers

> 10%
Open Access
eDoc requires extensive discussions about responsibilities in institutes to organize the process of quality assurance
  ➔ eDoc support team extensively through mails, phone workshops this process

Lack of awareness and support of directors for activities of librarians supporting institutional repository
  ➔ Comprehensive needs analysis and promotion tour in autumn 2004 – visits, workshops, questionnaires, promotional material
  ➔ Steering committee on vice president level ensures communication to institutes

➔ Creation of a position for MPS Open Access Policy Management on central level
Uncertainty about the legal and political consequences of self-archiving of research results, which are e.g. published in scientific journals

- Consultancy and support of the Institutes in questions of copyright and publishers’ policies by eDoc support team, FAQ page on eDoc, Links to Server informing about copyright & publishers, MPS internal database to manage and comment copyright agreements between MPS researchers and journals

- Require transparent process for ascertaining legal deposition and dissemination via institutional archive

- Require formulation of explicit ‘best practice recommendation on open access to research results’ to Max Planck researchers
Requirements for an appropriate license model for providing open access via an institutional repository and attraction of CC license

- Transparent and easy to use for authors
- In accordance with OA principles
- Non-exclusive (not to prescribe an exclusive publication channel)
- Potential for universal take-up (e.g. among Berlin signatory group)
- International applicability (int. collaborations of authors, world wide dissemination...)

An Open Access License
philosophy of open access
  • facilitate usage and impact
  • focus on creator rights
  • transparent, easy to use

internet based
  • integration in documents
  • human, lawyer and machine readable version

International
  • iCommons – express philosophy in specific legal terms of a country’s law system
  • Release of German version of CC license on 11 June in Berlin
CC License in Institutional Archiving Workflow

Creator
- selects appropriate CC license to regulate dissemination and re-use
- guarantees ownership and no conflicting agreements

Moderator
- checks assignment of license before release
  N.N.
  - files signed license
  - plausibility check?

System
- links/integrates document with persistent copy of applicable license

Depositor e.g. author

Authority (Institute)
- quality, appropriateness
Moderator (Institute)
- formal check

Release
Moderator (Institute)
- assign access level

Required Institutional Support:
- Promotion of use of OA license (society-wide best practice guides)
- Advise on selection and assignment of license, on potential conflicts w existing/intended agreements (and how to find out),
- Negotiate institutional agreements w publishers

World
MPG
Institute
Internal
Next steps

- **Detail License Draft**
  - Confirm appropriateness of CC license as core (do options provided cover the relevant use cases in scholarly communication (incl. wide international applicability)?
  - Extend by necessary clauses to protect Society from e.g. conflicts with exclusive rights already assigned by author when disseminating work via eDoc

- **Develop and enforce Society wide policy**
  - Recommend specific version or just general use (of any option)
  - How and to what degree enforce use of license within Society

- **Agree on and provide necessary supporting infrastructure**
  - Outreach and education of authors on their rights and measures to express them
  - Clearing house to clarify legal questions and resolve possible conflicts
  - Local or central administration for book-keeping of licenses

- **Resolve conflict of interest with non-open access publishers**
  - Reluctance of authors to risk being published in prestigious journal (high impact) on individual level (career issue)
  - Back-up negotiations with publishers to agree on use of CC license by authors
Future:
from institutional repository to an open access platform
Open Access Platform

- Open access to organization’s research output
  - Technical and conceptual framework, sustainable, modular, extensible, persistent access, pilot collections & applications
  - Goal: Capture external content for integration in Digital Library Services & expose research output of the MPS and feed into digital networks and scholarly communication services
  - i.e. move from insular institutional repository system to modular, integrated technical system that provides sustainable and scalable central infrastructure with interfaces for local (global), discipline specific extensions
- Seed money: Ministry for Education and Research (BMBF), 2004-2009 (~15 FTE)
- Nucleus for national eScience platform; integrated with German Grid-initiative
- Strategic partnership for long-term operation and development with national service center
- Open for re-use (open source software or as hosted service)
Conclusions
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- Regard open access as the replacement for the conventional scholarly communication paradigm and not its 2nd class counterpart

- The transition
  - will take a significant time and involve transformations in the traditional library/scientific information provision system including the re-definition of role and services of Publishers
  - is facilitated and accelerated by joint action of a global alliance of research and funding organizations committed to Open Access coming together in the Berlin Process
Thank you for your attention.

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Open Access Development:
Institutional Repository http://edoc.mpg.de
Living Reviews Journal Family http://www.livingreviews.org
Tools for ePublishing LaTeX authored documents (GNU GPL)
ePubTk http://www.zim.mpg.de/projects/toolkit/
Hermes http://relativity.livingreviews.org/Software