
The Open Access Strategy of the Max Planck Society

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Open Access to Research Findings
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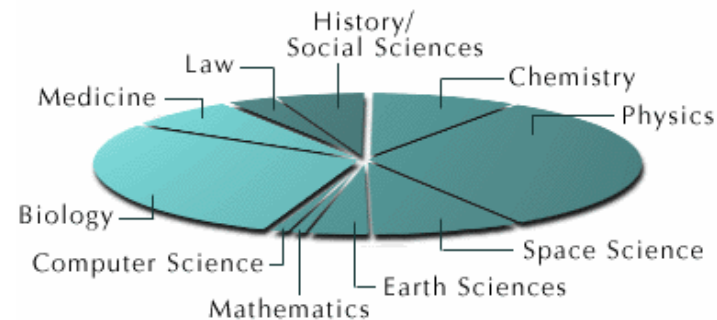




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Environment – The Max Planck Society (MPS)

- 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



research areas in the MPG

- basic research in 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 \Rightarrow 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 Vision of the Berlin Declaration

- “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.”



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Realizing Open Access - the Berlin process -

- 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/openaccess-cern/
- Status reports, roadmap review, alliances for specific issues and mutual help
 - Model for processes within World Summit for Information: Geneva 2003, Tunis 2005



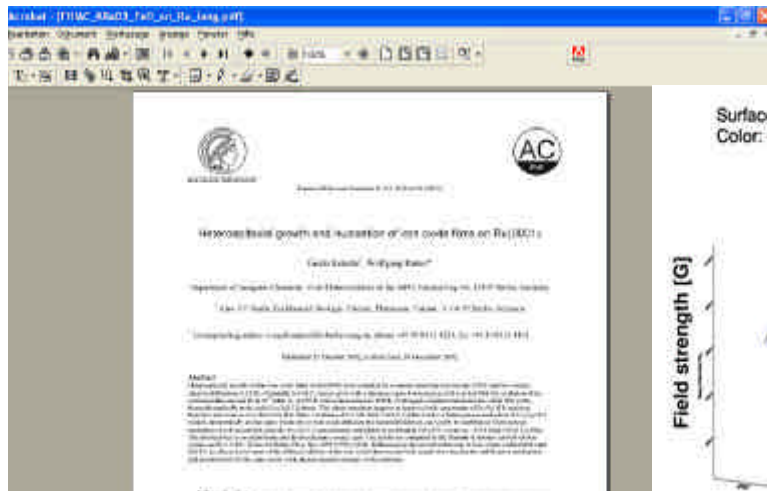


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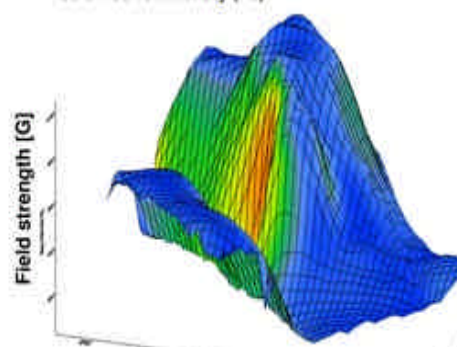
The Open Access Strategy

- 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



Surface: Mag. Field (He)
Color: Current Density (He)





Benefits of Open Access

quality – efficiency – acceleration - innovation

- 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 limited by availability of information
- Unrestricted access encourages new ideas and new insights in traditional disciplines
- Networking (unrestricted and innovative)
 - ◆ interdisciplinary relations (research)
 - ◆ accelerated new insights and new ideas
 - ◆ search for new fundamental knowledge
- Unrestricted access supports dialog between scholars and public/politics.

Open Access increases quality and excellency of science



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



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- 2002** ■ Prototype system to explore the needs of scholars in a multi-disciplinary research organization conducting basic research
 - 2003** ■ eDoc is introduced for regular reporting from all Max Planck Institutes (MPG Annual Report + X)
 - 2003** ■ eDoc is one pillar of the Open Access Strategy of the Max Planck Society
 - 2004-2007** ■ 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



Core Concepts of Max Planck Institutional Repository

- 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.)



Status Report – eDoc Usage (after approx. one year)

- 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...)



Max Planck Society & Open Access

Attraction of Creative Common 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 countries law system
 - ◆ Release of German version of CC license on 11 June in Berlin

The screenshot shows the 'Choose a License' page of the Creative Commons website. The browser window title is 'Choose a License | Creative Commons - Mozilla'. The page has a green header with the Creative Commons logo and navigation links: 'home', 'learn more', 'get content', 'discuss', 'technology', and 'choose license'. A search bar is in the top right. The main content area is titled 'Choose License' and contains a series of questions with radio button options. The questions are: 'Require attribution?' (Yes/No), 'Allow commercial uses of your work?' (Yes/No), 'Allow modifications of your work?' (Yes/No, with a note 'Yes, as long as others share alike'), and 'Jurisdiction of your license' (a dropdown menu set to 'Generic'). There is also a section 'Tell us the format of your work:' with a dropdown menu set to 'Other'. On the left side, there are four steps: 'step 1 choose license' (active), 'step 2 review choice', 'step 3 mark content', and 'step 4 publicize'. Below these steps, there is a section 'Or Choose:' with five license options, each with a circular icon: 'Public Domain' (pd), 'Sampling' (S), 'Founder's Copyright' (cc-fc), 'CC-GNU GPL' (cc-gpl), and 'CC-GNU LGPL' (cc-lpl). At the bottom, there is a link 'Click to include more information about your work.' and a 'Select a License' button.



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

submission

approval process

release

Depositor
e.g. author

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

Moderator
(Institute)
- assign access
level -

World
MPG
Institute
Internal

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



- 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



- 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>