

# Promoting Open Access through National Licensing in Germany

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# COAR's Starting Point

**Objective 2:** Populate repositories with content. Collect, assemble and disseminate best practices for the inception, operation and growth of OA repositories

**WG I “Repository Content”**, Chair: Kathleen Shearer, CARL, CDN;

## Priorities for 2011/2012

1. Share best practices and expertise for populating repositories
2. Develop guidelines for the implementation of open access policies
3. Promote open access policies and practices with publishers



# International Examples – U.S.

Association of Research Libraries (ARL): Model Language for Author Rights in Library Content Licenses, developed by ad hoc working group and endorsed by ARL Board on 30 April 2010  
<http://authorrights.wordpress.com>

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# International Examples – EU

- JISC/UK: NESLi2 model licenses – focus has shifted from securing deposition rights to clauses monitoring the uptake of the hybrid model
- UKB/NL: national „Springer Open Choice“ agreement from 2007 to June 2012 – no additional fees, unrestricted # of articles  
Similar pilots on national and institutional levels: Germany (UGOE, Max Planck Society), Poland (through ICM), Norway (Bergen, Oslo, Tromsø and Trondheim)
- Couperin/France: guidelines for negotiations, including clauses related to deposition in OA repositories (type of repository, embargo period, version etc.)
- Sweden: OA policy of the National Library, introduces OA into licensing negotiations, discussion started with publisher in Spring 2011 | <http://www.kb.se/english/about/news/New-Open-Access-policy/>



# The German Case: Background

## **National Licenses (NL) – from 2004 on**

- Negotiated by a core group of libraries with strong disciplinary collections
- Common strategy in negotiating processes
- High-volume collections of back archives: primarily journal collections and databases, some e-book collections – typically with archiving rights (after end of licensing period)
- Funded by the German Research Foundation (DFG)

## **Current Journals – from 2008 on**

- Pilot for current journals 2008-2010, continued with DFG co-funding

## **Knowledge Exchange (DEFF, JISC, SURF, DFG)**

- Tender call for multi-national licensing in 2007
- Licensing period 2009-2011
- Opt-in framework
- Results integrated into German national licensing programme



# Background – II

## Alliance licenses (since 2010)

- Working group “National Licensing” within the framework of the initiative “Digital Information” of the *Alliance of German Science Organisations*\*
- Based on new **guidelines**, emphasizing:
  - **Pricing models** that at least hold the perspective of replacing historic turnover volumes.
  - An **archival and moving wall** condition that secures that licenses are transformed into national licenses, generally after one year (*moving wall*).
  - An **Open Access condition**, that secures that authors are entitled to deposit their articles in a repository of their choice and to make them available in Open Access. Their institutions should also be granted these rights.
- Typically opt-in framework, first licensing period 2011-2013



\* Alexander von Humboldt Foundation, the German Research Foundation, the Fraunhofer Gesellschaft, the German Academic Exchange Service (DAAD), the German Rectors' Conference, the Helmholtz Association, the Leibniz Association, the Max Planck Society and the German Council of Science and Humanities



# Open Access Clause

## **Guidelines for the Purchase of Licences within the Framework of the Alliance Initiative 'Digital Information', No. 23**

*Authors from authorised institutions are permitted free of charge to promptly store their articles appearing in licensed journals generally in the form published by the publisher (e.g. PDF) in an (institutional or discipline-specific) repository of their choice and to make them available in Open Access. Authorised institutions to which the respective authors belong have the same right. An agreement by which the publisher itself stores articles written by authors from authorised institutions in a repository may also be reached.*

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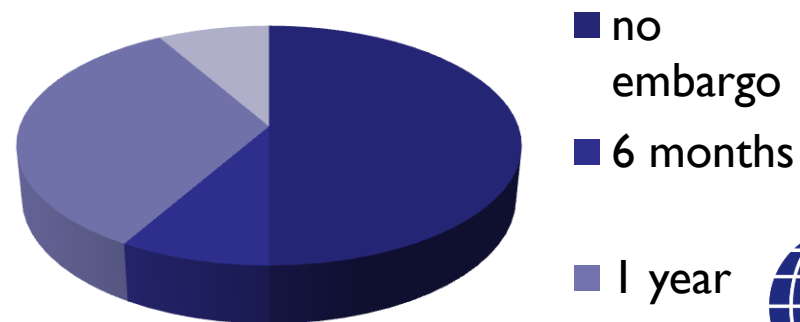
# Outcomes for 2010–2012

14 products: 12 journal collections, 1 database, 1 e-book collection

## Deposition rights for journal collections

- 10 products grant rights to authors and institutions, 2 to authors only
- 10 journal collections allow deposition of publishers' PDF, 2 postprints only
- 10 allow free choice of the repository, 1 institutional repository only, 1 publisher's repository only
- Average embargo period of *6,5 months*

## Embargo periods





# Selected Results (negotiations 2010 and 2011)

Product	Version	Embargo	Acquisition	Repository	Who?	Sherpa/ RoMEO
AIP Journals	Publisher's PDF	0	Publisher's database	Institutional repository	A	green
Annual Reviews online	Publisher's PDF	0	Publisher's database	Publisher's website	A	-
<u>Bepress Journals</u>	Publisher's PDF	0	Publisher's database	Repository of choice	A, I	green
BMJ Journals	Publisher's PDF	36 months	Publisher's database	Repository of choice	A, I	green
Cambridge University Press	Publisher's PDF	12 months	Publisher's database	Repository of choice	A, I	green
China Academic Journals	Publisher's PDF	max. 12 months	Publisher's database	Repository of choice	A, I	-
European Mathematical Society	Publisher's PDF	0	Publisher's database	Repository of choice	A, I	green
<u>Karger Journals</u>	Publisher's PDF	12	Publisher's database	Repository of choice	A, I	green
Oxford Journals Current Contents	<u>Postprint</u>	12-24 months	Publisher's database	Repository of choice	A, I	yellow
Royal Society of Chemistry	Publisher's PDF	12	Publisher's database	Repository of choice	A, I	blue
Sage Journals	Publisher's PDF	12	Publisher's database	Repository of choice	A, I	yellow
Walter de Gruyter / HSS and STM journals	Publisher's PDF	0	Publisher's database	Repository of choice	A, I	yellow

A = authors, I = institutions



# Implementation

## First steps

- Inform institutions through **guidelines** (recently published)
- Provide details about the products online, including OA rights  
<http://www.nationallizenzen.de/open-access>

## Challenges & How to solve them

- Complexity of rights
  - Some publishers have different conditions per journal
  - Lots of conditions (alliance vs national license, when/where/who deposits, version,...)
- Selection & deposit of publications
  - Journal platform across all journals available? Selection by author affiliation?
    - >> Bibliographic databases as a starting point
    - >> Investigate (re)use of (semi)automatic workflows (mining, SWORD etc.)



# Your questions & comments?

## Contact Details

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## More Information

National Licenses and Open Access in Germany, COAR Case Studies –  
Open Access in Licensing, May 2012

