Promoting Open Access through National Licensing in Germany

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Goettingen State and University Library
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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.)

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.

http://www.dfg.de/download/programme/wissenschaftliche_literaturversorgung_informationssysteme/antragstellung/12_18_e/12_18e.pdf
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
- no embargo
- 6 months
- 1 year
Selected Results
(negotiations 2010 and 2011)

<table>
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<th>Product</th>
<th>Version</th>
<th>Embargo</th>
<th>Acquisition</th>
<th>Repository</th>
<th>Who?</th>
<th>Sherpa/RoMEO</th>
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</table>

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