

Publishing Forum
Forum Publizieren

Jochen Johannsen ; Gerard Meijer

1st Meeting
2024-03-21

DOI: 10.18154/RWTH-2024-03611
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Agenda

- Publishing Forum: a short introduction to the format
- Prof. Dr. Gerard Meijer (Fritz-Haber-Institut, MPG):
  - **The recommendations of the German Council of Science and Humanities (Wissenschaftsrat) on the transformation of scientific publishing to Open Access**
- Dr. Jochen Johannsen (RWTH Univ. Library):
  - **The open access publication fund of RWTH**

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Short introduction to the format

- publishing is at the core of the activities of this university, yet there is no general stakeholder communication about publishing at RWTH

- Publishing Forum wants to fill that gap
  - a new online format with information and discussion on all aspects of publishing
  - easily accessible, the format is primarily aimed at all publishing members of the university
  - to learn, to get and give feedback
  - 4-6 events per year

- 1st step: understand better the publishing needs at RWTH
- 2nd step: improve the conditions for publishing at RWTH

- Showrunners (;-))
  - initiator and patron: Prof. Dr.-Ing. Matthias Wessling, Vice-Rector for Research and Structure
  - University Library (*Jochen Johannsen, Corinna Mescherowsky*)
  - Research Department (Dezernat 4) of the University Administration (*Felix Kampel*)

Short introduction to the format

- there is a wide range of possible topics
  - open access: gold, hybrid, diamond, ….
  - different publication cultures in the disciplines
  - bibliometrics & rankings
  - predatory publishing
  - AI in the publication process
  - data tracking on publication platforms
  - gender publication gap
  - relaunch of RWTH publications
  - publication infrastructures @ RWTH: what do YOU need?
  - ….

- Which topics would YOU like to be addressed?
  - Please write in the chat!
  - a/o mail to rtp@ub.rwth-aachen.de

Save the next date

May 23rd, 2024, 1:00 p.m. (Zoom)

What‘s the DEAL?
Information on the project – insights from the project – significance for RWTH

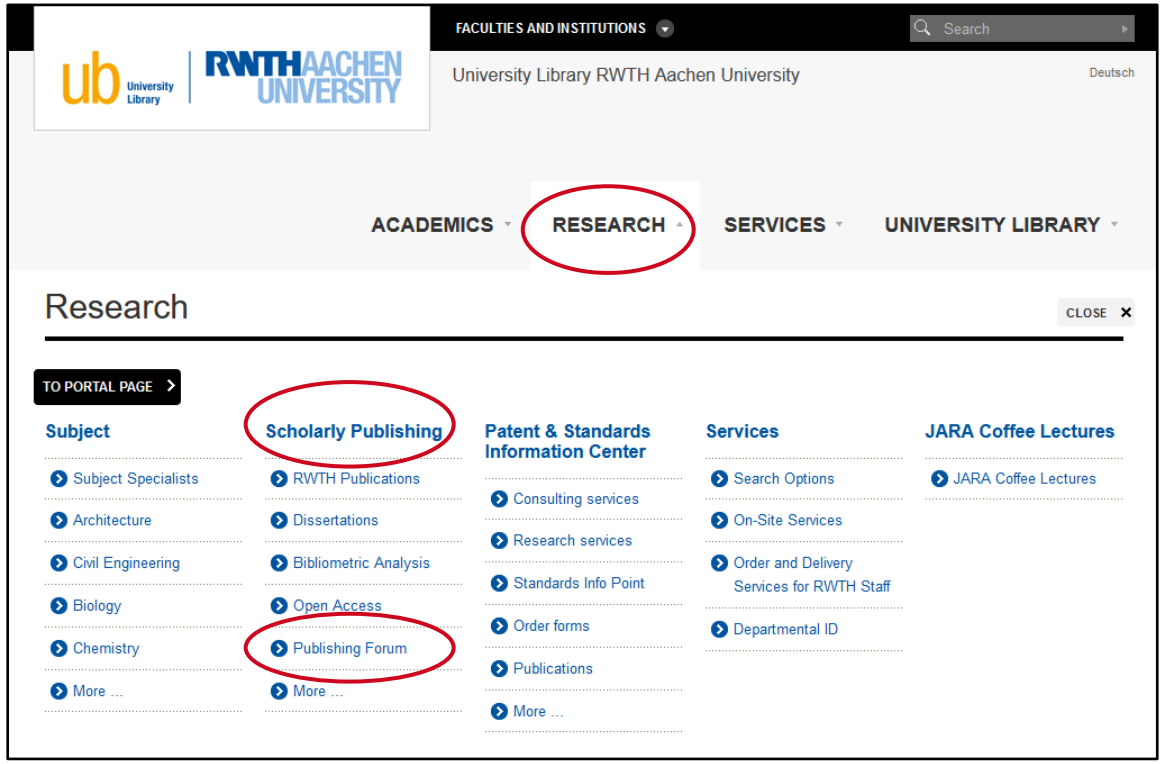
presented by two members of DEAL

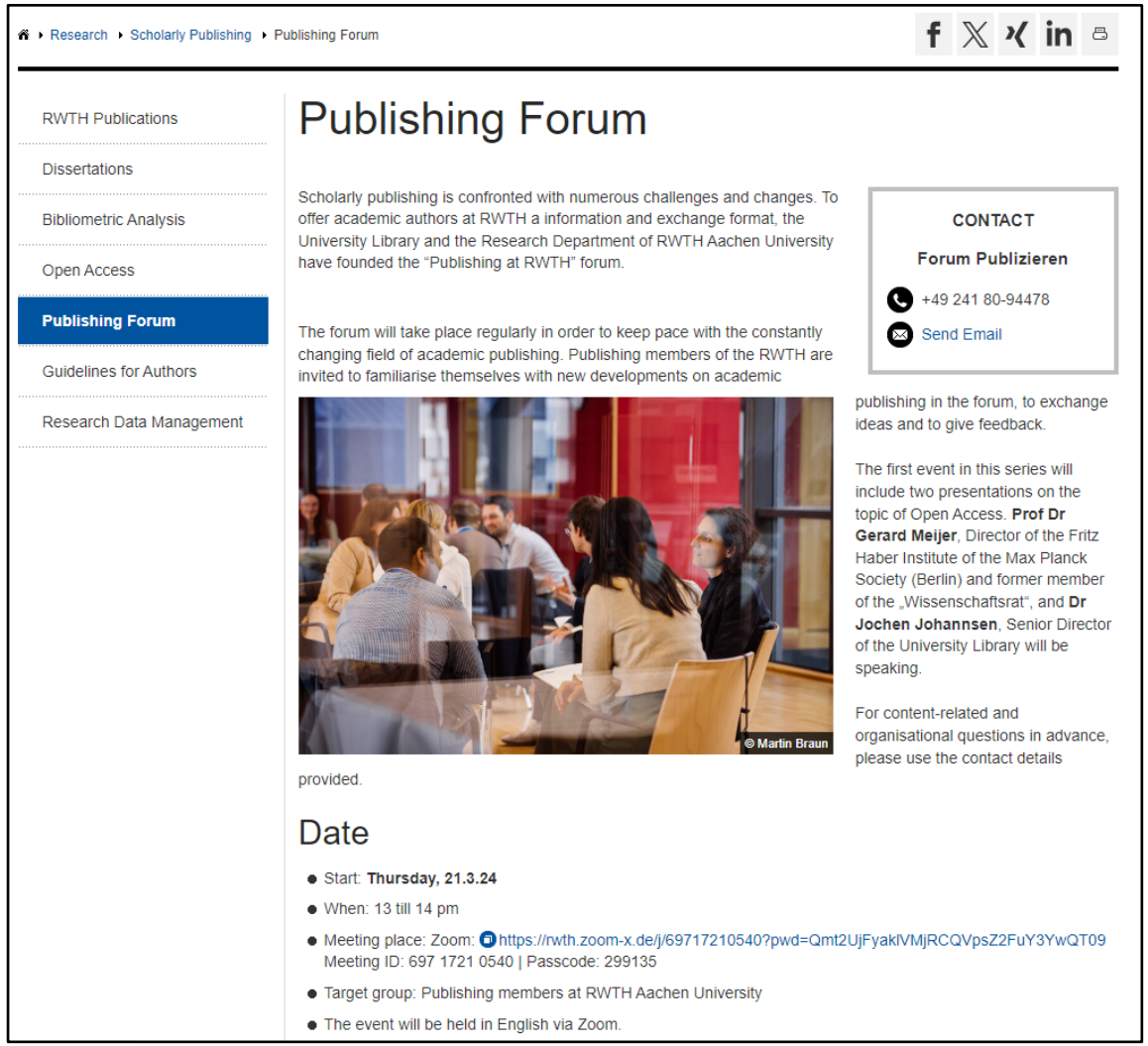
- Dr. Bernhard Mittermaier, FZ Jülich, Central Library
- Dr. Jochen Johannsen, RWTH UB

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Publishing Forum

Further information on our website





Prof. Dr. Gerard Meijer (Fritz-Haber-Institut, MPG, Berlin)

Recommendations of the ‚Wissenschaftsrat' on the transformation of scientific publishing to Open Access

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WR | WISSENSCHAFTSRAT

(German Council of Science and Humanities)

Recommendations on the Transformation of Academic Publishing: Towards Open Access

Gerard Meijer



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https://doi.org/10.57674/0gtq-b603

The German Council of Science and Humanities

The „Wissenschaftsrat“ (founded in 1957) advises the German federal government and the governments of the „Länder“ (federal states) on all questions relating to the content and structural development of science, research and the higher education sector

Two inter-dependent committees:

- scientific committee (24 scientists + 8 „VIPs“); appointed by the federal president
- administrative committee (16 federal states + federal government representatives)

Professional administrative office with about 100 employees in Köln

Four times a three-day meeting per year, plus many meetings of working-groups, etc.

Topics need to be put on the jointly agreed work-plan (for OA: July 2019), then a working-group is installed (for OA: March 2020) and recommendations are formulated, discussed (for OA: October 2021) and finalised (for OA: January 2022) – normally only in German

Fundamental premise of the recommendations of the WR

Dissemination of scientific results of a research project is an integral part of that research project

From funding agencies and social-political sources increased pressure:

Publishing research results Open Access should become standard practice

Consensus for Open Access

Berlin Declaration (2003) and current German government coalition agreement

> The Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities is available at https://openaccess.mpg.de/67605/berlin_declaration_engl.pdf
>
> Coalition Agreement 2021–2025 between the SPD (Social Democratic Party of Germany), BÜNDNIS 90/DIE GRÜNEN (Green Party) and the FDP (Free Democrats), pp. 21 and 24. (“establish Open Access as standard practice”)
>
> Joint Guidelines of the Federal Government and the Länder (June 2023 @ Berlin OA16)

UNESCO Recommendation on Open Science (November 2021)

> https://en.unesco.org/science-sustainable-future/open-science/recommendation

Council of the European Union adopted conclusions on „high quality, transparent, open, trustworthy and equitable scholarly publishing“ (May 2023)

Arguments for Open Access

Openly accessible publications can be read, reviewed and used more quickly and more widely by other researchers. This increases the **quality of research** and accelerates **scientific progress.**

OA makes scientific knowledge more widely available outside of the scientific community and lowers the threshold for various **transfer activities.** This increases the social effectiveness of (publicly funded) research.

Up to now, the business model of publishers has been based on rights of use. As they will no longer be granted exclusive rights under OA, publishers will become publication service providers and will compete with other providers. This may strengthen the negotiating position of scientific institutions vis-à-vis such service providers and improve the **innovative capacity, cost transparency** and **cost efficiency** of the publication system.

Fundamental premises of the recommendations of the WR

Dissemination of scientific results of a research project is an integral part of that research project

From funding agencies and social-political sources increased pressure:

Publishing research results Open Access should become standard practice

Publishing research results Open Access should be taken up in *the guidelines for good scientific practice* (formulated as advice to the DFG)

Researchers write scientific articles for impact and not for money, i.e. it is like "advertising" their work to the best suited and most appropriate audience

Publishing scientific results does cost money

The costs of scientific publications should be carried by the research funders

Goals of the Transformation to Open Access

„*the goal of the transformation is for academic publications to be made freely available immediately, permanently, at the original publication venue and in the citable, peer-reviewed and typset version-of-record under an open licence (CC BY). This so-called gold route to OA (gold OA) is compatible with various business models.*“

Goals of the Transformation to Open Access

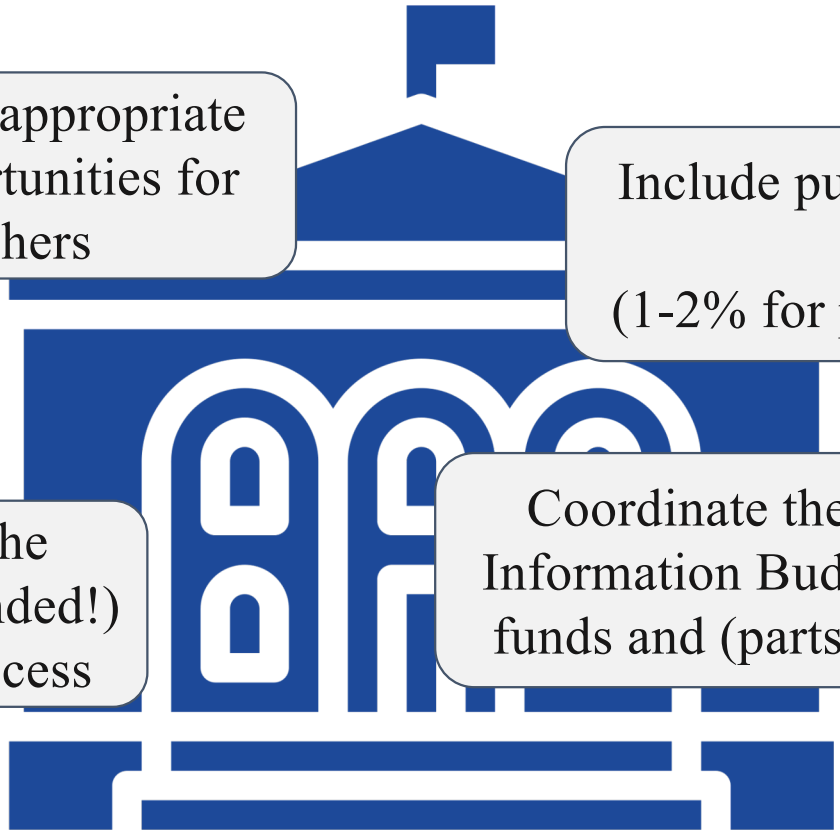
Preserve the **diversity of academic publication types and media** and promote innovation.

Agree on common **requirements for quality assurance of content** (especially in terms of peer review processes; independent role of editors) as well as for **high-quality publication services.** Academic publications should not only be openly accessible, but also machine-readable through open, structured formats and semantic annotations.

Scientific institutions have the responsibility to ensure that all researchers have sufficient resources to be able to publish their results adequately and in a quality-assured manner. The **remuneration of publishing services** (estimated to be 1 – 2 % of the research costs) must become **part of the research funding.** The leadership of scientific institutions has to coordinate the setting up of an integrated **Information Budget** – combining the library budget and parts of the research funds – from which the publication costs can be covered.

The aim should be to achieve a change in financial flows in as cost-neutral a manner as possible. State libraries should take over a role in long-term archiving.

Recommendations to Research Institutes/Management and Funders



Ensure access to appropriate publishing opportunities for all researchers

Include publication costs as part of the research funding (1-2% for publication and information)

Support and drive the (politically also demanded!) transition to Open Access

Coordinate the setting up of central Information Budgets by pooling library funds and (parts of the) research funds

Some personal remarks on the Information Budget

Right now, organising a sufficiently large Information Budget might be seen as a burden by academic institutions.

Academic institutions with a transparently organised Information Budget that is accessible to all its researchers will be able to use this to advantage on the international, academic job-market, i.e., to attract the best researchers worldwide.

The volume of the annual Information Budget will play a role in the evaluation and rating of academic institutions in the near future – not only by scientists, but also by policy makers.

The Information Budget will become of strategic importance for academic institutions.

> Academic institutions can and will use the existence, organisation and volume of the Information Budget in PR campaigns in the not too distant future.

Thank you for your attention!

Dr. Jochen Johannsen (UB RWTH)

The open access publication fund of RWTH

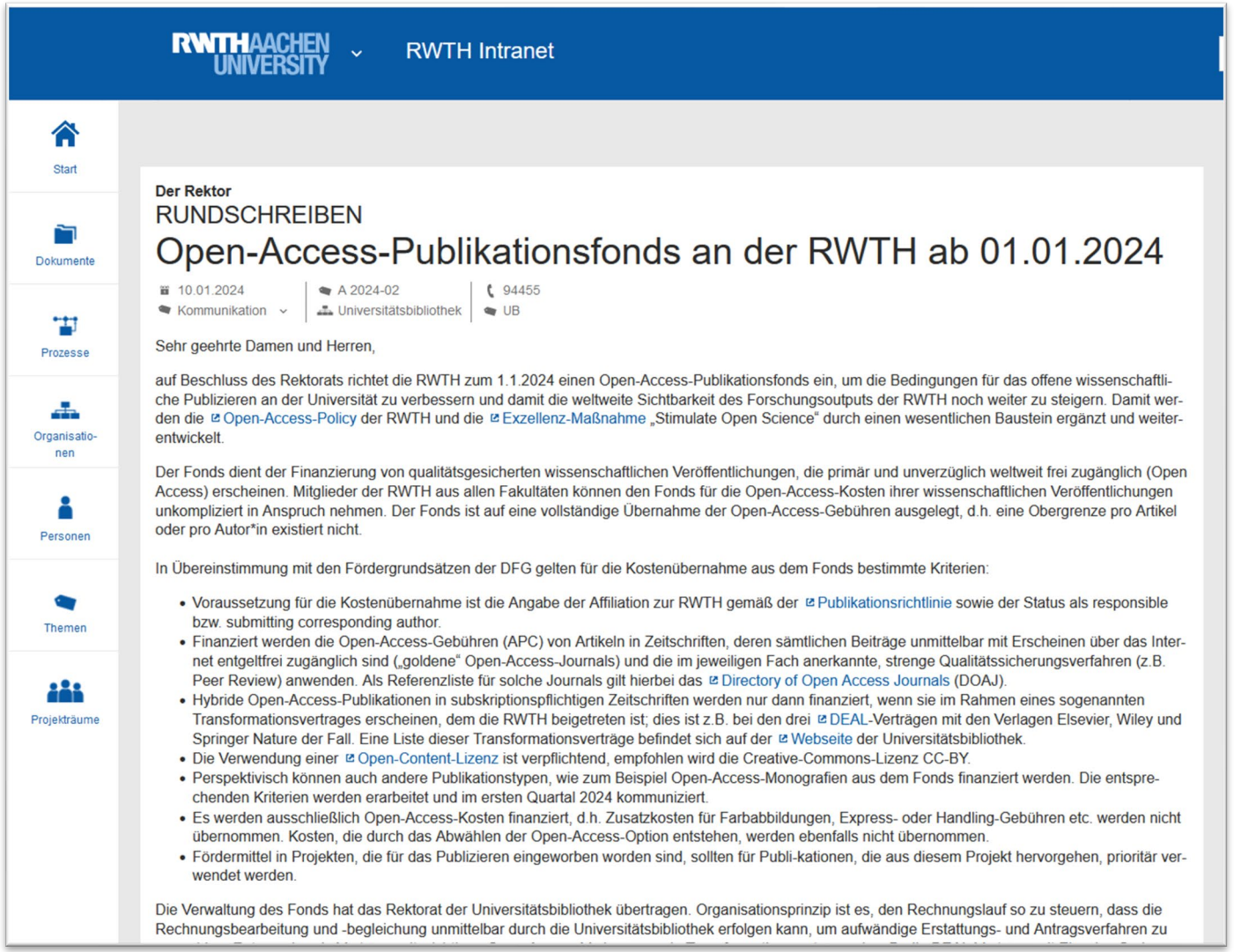
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Open Access Publication Fund

A good start into the new year …

Announced by a circular letter from the Rector the open access publication fund is active since January 1st, 2024.

For the first time ever, RWTH provides general central funding for publishing in the open access mode.



RWTH AACHEN UNIVERSITY RWTH Intranet

Start
Dokumente
Prozesse
Organisationen
Personen
Themen
Projekträume

Der Rektor

RUNDSCHREIBEN

Open-Access-Publikationsfonds an der RWTH ab 01.01.2024

10.01.2024 | A 2024-02 | 94455
Kommunikation | Universitätsbibliothek | UB

Sehr geehrte Damen und Herren,

auf Beschluss des Rektorats richtet die RWTH zum 1.1.2024 einen Open-Access-Publikationsfonds ein, um die Bedingungen für das offene wissenschaftliche Publizieren an der Universität zu verbessern und damit die weltweite Sichtbarkeit des Forschungsoutputs der RWTH noch weiter zu steigern. Damit werden die Open-Access-Policy der RWTH und die Exzellenz-Maßnahme „Stimulate Open Science" durch einen wesentlichen Baustein ergänzt und weiterentwickelt.

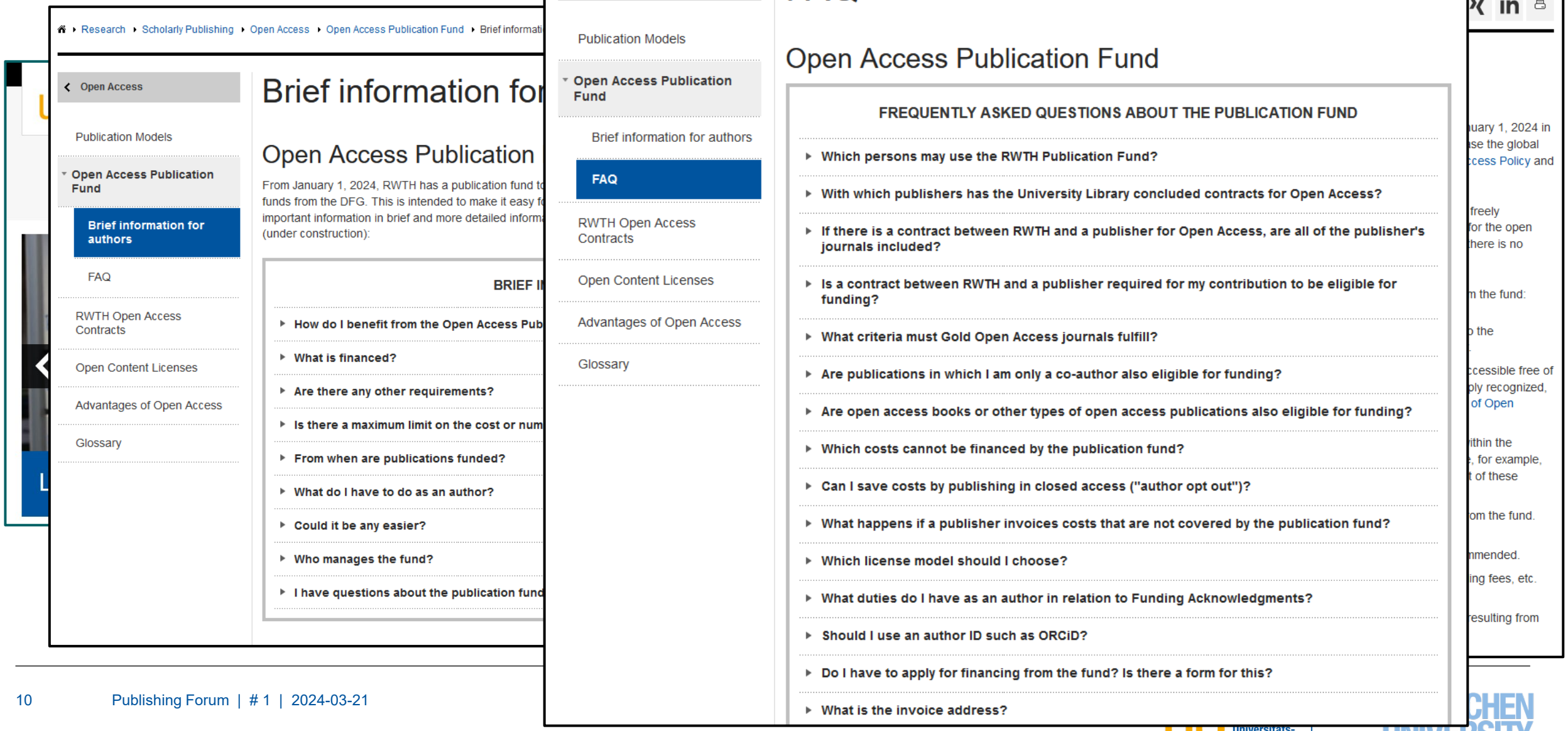
Der Fonds dient der Finanzierung von qualitätsgesicherten wissenschaftlichen Veröffentlichungen, die primär und unverzüglich weltweit frei zugänglich (Open Access) erscheinen. Mitglieder der RWTH aus allen Fakultäten können den Fonds für die Open-Access-Kosten ihrer wissenschaftlichen Veröffentlichungen unkompliziert in Anspruch nehmen. Der Fonds ist auf eine vollständige Übernahme der Open-Access-Gebühren ausgelegt, d.h. eine Obergrenze pro Artikel oder pro Autor*in existiert nicht.

In Übereinstimmung mit den Fördergrundsätzen der DFG gelten für die Kostenübernahme aus dem Fonds bestimmte Kriterien:

- Voraussetzung für die Kostenübernahme ist die Angabe der Affiliation zur RWTH gemäß der Publikationsrichtlinie sowie der Status als responsible bzw. submitting corresponding author.
- Finanziert werden die Open-Access-Gebühren (APC) von Artikeln in Zeitschriften, deren sämtlichen Beiträge unmittelbar mit Erscheinen über das Internet entgeltfrei zugänglich sind („goldene" Open-Access-Journals) und die im jeweiligen Fach anerkannte, strenge Qualitätssicherungsverfahren (z.B. Peer Review) anwenden. Als Referenzliste für solche Journals gilt hierbei das Directory of Open Access Journals (DOAJ).
- Hybride Open-Access-Publikationen in subskriptionspflichtigen Zeitschriften werden nur dann finanziert, wenn sie im Rahmen eines sogenannten Transformationsvertrages erscheinen, dem die RWTH beigetreten ist; dies ist z.B. bei den drei DEAL-Verträgen mit den Verlagen Elsevier, Wiley und Springer Nature der Fall. Eine Liste dieser Transformationsverträge befindet sich auf der Webseite der Universitätsbibliothek.
- Die Verwendung einer Open-Content-Lizenz ist verpflichtend, empfohlen wird die Creative-Commons-Lizenz CC-BY.
- Perspektivisch können auch andere Publikationstypen, wie zum Beispiel Open-Access-Monografien aus dem Fonds finanziert werden. Die entsprechenden Kriterien werden erarbeitet und im ersten Quartal 2024 kommuniziert.
- Es werden ausschließlich Open-Access-Kosten finanziert, d.h. Zusatzkosten für Farbabbildungen, Express- oder Handling-Gebühren etc. werden nicht übernommen. Kosten, die durch das Abwählen der Open-Access-Option entstehen, werden ebenfalls nicht übernommen.
- Fördermittel in Projekten, die für das Publizieren eingeworben worden sind, sollten für Publi-kationen, die aus diesem Projekt hervorgehen, prioritär verwendet werden.

Die Verwaltung des Fonds hat das Rektorat der Universitätsbibliothek übertragen. Organisationsprinzip ist es, den Rechnungslauf so zu steuern, dass die Rechnungsbearbeitung und -begleichung unmittelbar durch die Universitätsbibliothek erfolgen kann, um aufwändige Erstattungs- und Antragsverfahren zu

for further information: website o



Open Access Publication Fund

In a nutshell:

- as of January 1st, 2024, RWTH has established an open access publication fund
- the fund is open to all full members of RWTH and UKA
- it covers open access fees for journal articles
- funding will also be available for open access books, criteria are currently being worked out
- the fund is not limited in time, but regulations may change
- by order of the rectorate the fund is run by the university library
- for the moment the financial means are primarily provided by DFG and the university library

Open Access Publication Fund

Why?

- RWTH has an open access policy since 2016 …
- when it comes to publications, RWTH is one of the strongest academic institutions in Germany …

but

- until the end of 2023 RWTH was the only „University of Excellence“ and the only major technical university in Germany without an open access publication fund

➢ Establishing an open access publication fund is a next step in **stimulating open science** at RWTH (measure 4 of the strategy of excellence)

Open Access Publication Fund

Where does the money come from?

- initial funding through special assets (one-off)
  - > 2 Mio. € funding from the DFG, raised by the university library
  - unused library budget from the years of the Elsevier subscription boycott

- ongoing funding through regular university budgets is neccessary
  - Library budget will not suffice
  - tbd
  - ➢ information budget as proposed by the Wissenschaftsrat

Open Access Publication Fund

What?

- the fund provides financing for open access articles in
  - fully open access journals („Gold OA“)
  - hybrid journals, if they are included in a transformation agreement signed by UB (e.g. DEAL with Elsevier, Springer, Wiley)
- all open access fees are covered, i.e. there is no upper limit per article or per author
- no financing of costs not related to open access (e.g. colour charges)
- standards have to be fulfilled
  - generally accepted procedures for quality assurance, like peer review
  - open content licenses like *cc-by* to be used
  - Journal listing in the Directory of Open Access Journals
  - no predatory publishing

Open Access Publication Fund

What about open access monographs?

- funding will be available
- the regulations will be different
- we‘re currently finalising the rules and workflows
- more information in April

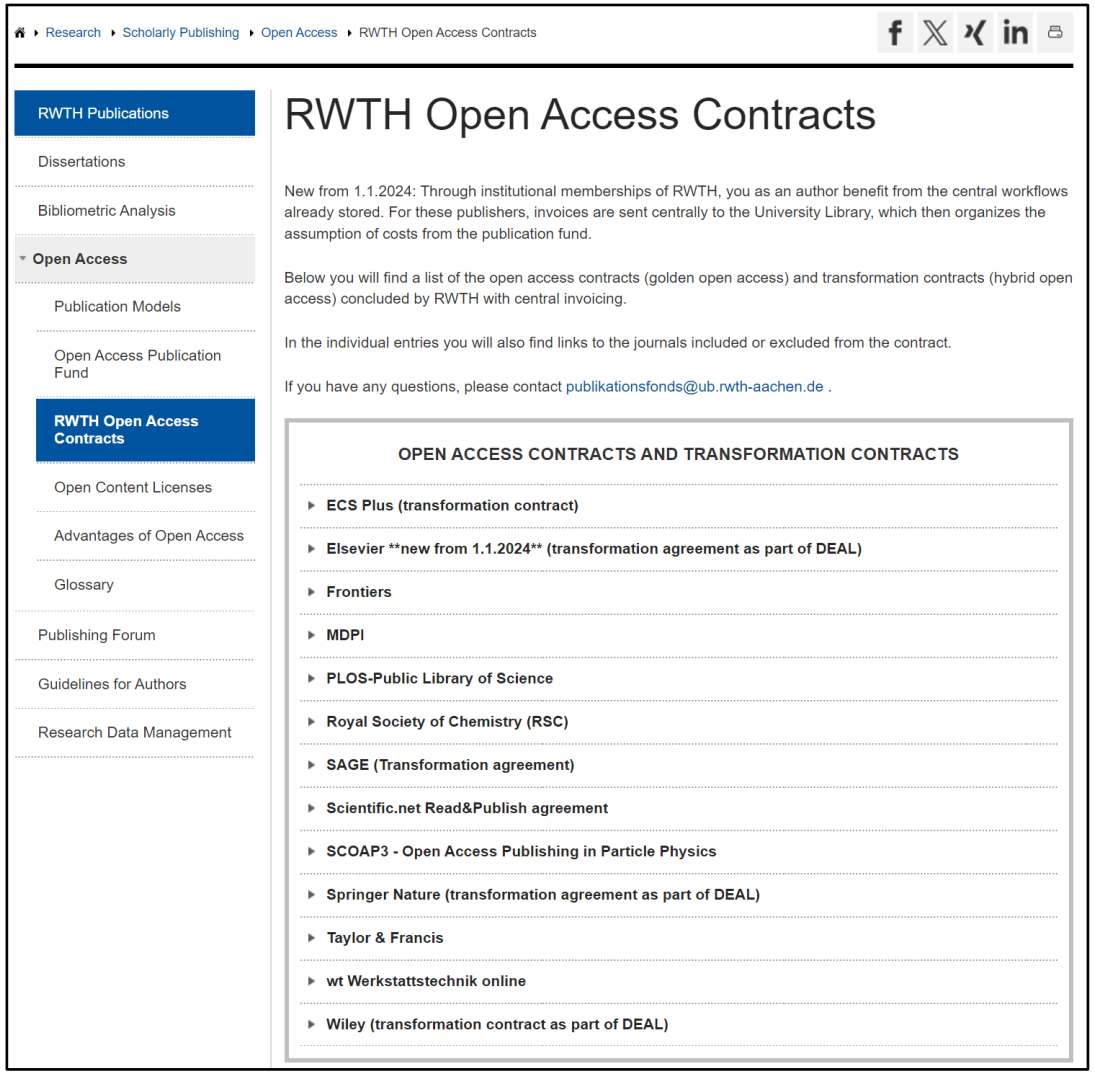
in the meantime – read this ;-)



Open Access Publication Fund

How does it work?

- no application process
- no author prepayment
- key element: invoice routing
- publishers with which RWTH has signed Open Access Contracts will direcly invoice the university library (both Gold and hybrid OA)



Open Access Publication Fund

How does it work?

- no application process
- no author prepayment
- key element: invoice routing
- publishers with which RWTH as signed Open Access Contracts will direcly invoice the university library (both Gold and hybrid OA)
- if there is no contract signed by RWTH, authors must make sure that the publisher uses the invoice address as provided by us (only Gold OA)



What do I have to do as an author?

It is important to correctly state your affiliation with RWTH in accordance with the RWTH publication guidelines. Please also provide the publisher with the billing address below, including the order number of the university library, as this is the only way to ensure that the costs will be covered by the publication fund:

invoice.rwth@rwth-aachen.de
RWTH Aachen University University Library- 021000 -
Order number 4940000000
Templergraben 61
52062 Aachen

For invoice issuers based abroad, the VAT identification number of RWTH (DE 121689807) must also be stated.

Open Access Publication Fund

So, what do you have to do?

- check whether the journal is eligible for funding

  ✓ fully open access and listed in DOAJ or on our contract list
  ✓ hybrid and on our transformation agreement list
  X hybrid but not on our transformation agreement list

- check whether centralised invoicing has been agreed

  ✓ listed on our contract list: library is invoiced by default
  X not listed on our contract list: provide the publisher with the correct billing address

- in doubt: ask the library!
  - publikationsfonds@ub.rwth-aachen.de
  - Tel: 94455 (Dr. Arnold)

- always a good idea: Think! Check! Submit!

Thank you for your attention!

Questions? Remarks?