

# Open Access und die wissenschaftliche Community

31. Kongresses der Deutschen Gesellschaft für Chirurgie | Berlin, 26.03.2014

Heinz Pampel | Helmholtz-Gemeinschaft



Open Access

# AGENDA

- Open Access in der Helmholtz-Gemeinschaft
- Open Access – Sicht der Wissenschaft
- Open Access – Metriken und Impact
- Von Open Access zu Open Science

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# UNSERE MISSION

- Forschung zur **Lösung wichtiger Zukunftsfragen** von Gesellschaft, Wissenschaft und Wirtschaft – strategisch und langfristig orientiert
- Bau und Betrieb großer **Forschungsinfrastrukturen** („think big, act big“)
- Erkenntnisse zum **Nutzen** von Gesellschaft und Wirtschaft umsetzen



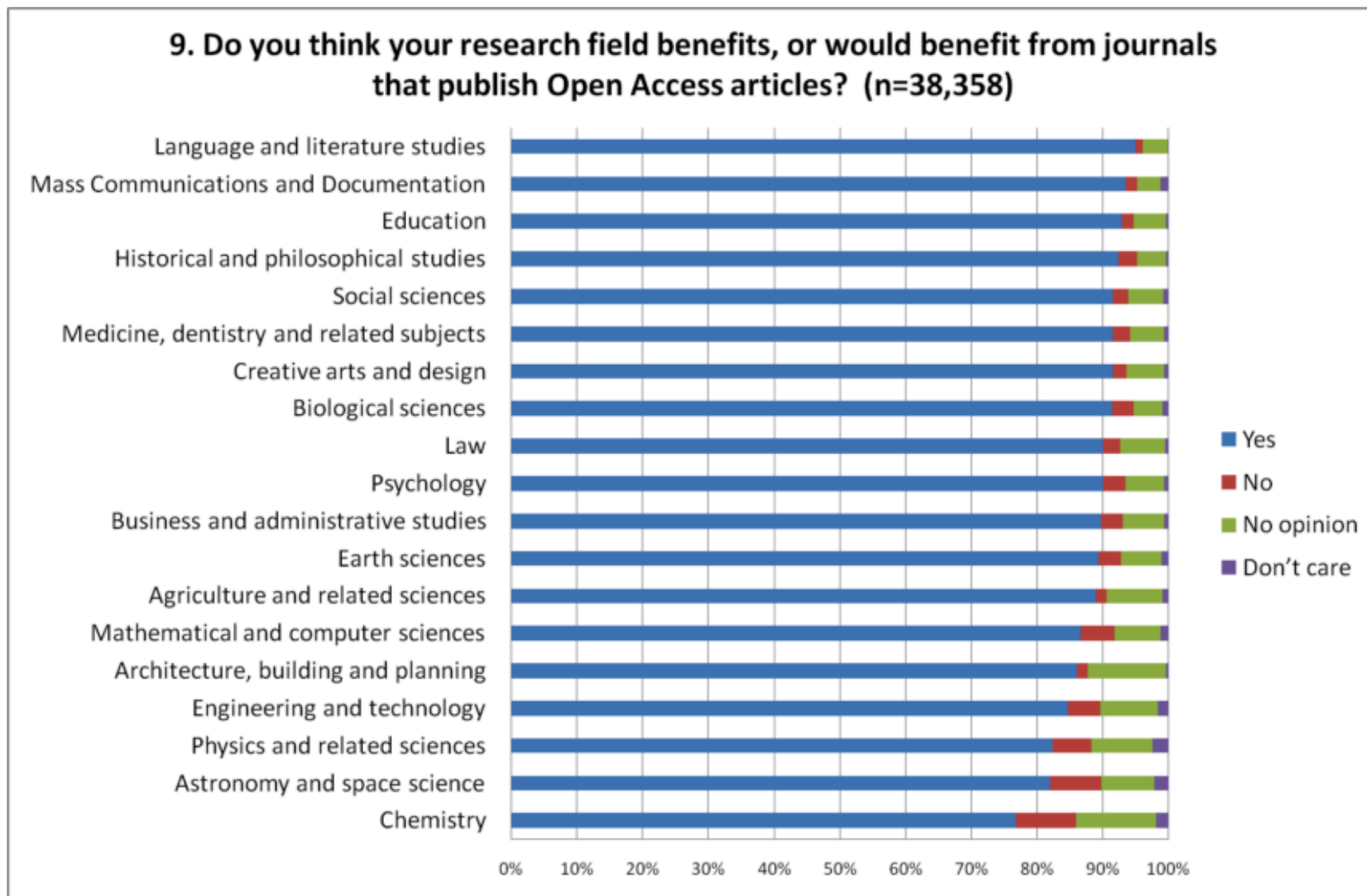
# OPEN ACCESS IN HELMHOLTZ

- 2003: Unterzeichnung der „Berliner Erklärung“
- 2004: Beschluss der Mitgliederversammlung
- 2005: Verabschiedung einer Roadmap
- 2006: Gründung eines Koordinationsbüros
- seit 2008: Schwerpunktinitiative „Digitale Information“ der Allianz der deutschen Wissenschaftsorganisationen
- seit 2010: EUROHORCs, Science Europe
- 2011: Compact for OA Publishing Equity
- 2013: OA-Richtlinie für Impuls- und Vernetzungsfonds
- 2014: Start von SCOAP3

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# OPEN ACCESS – SICHT DER WISSENSCHAFT

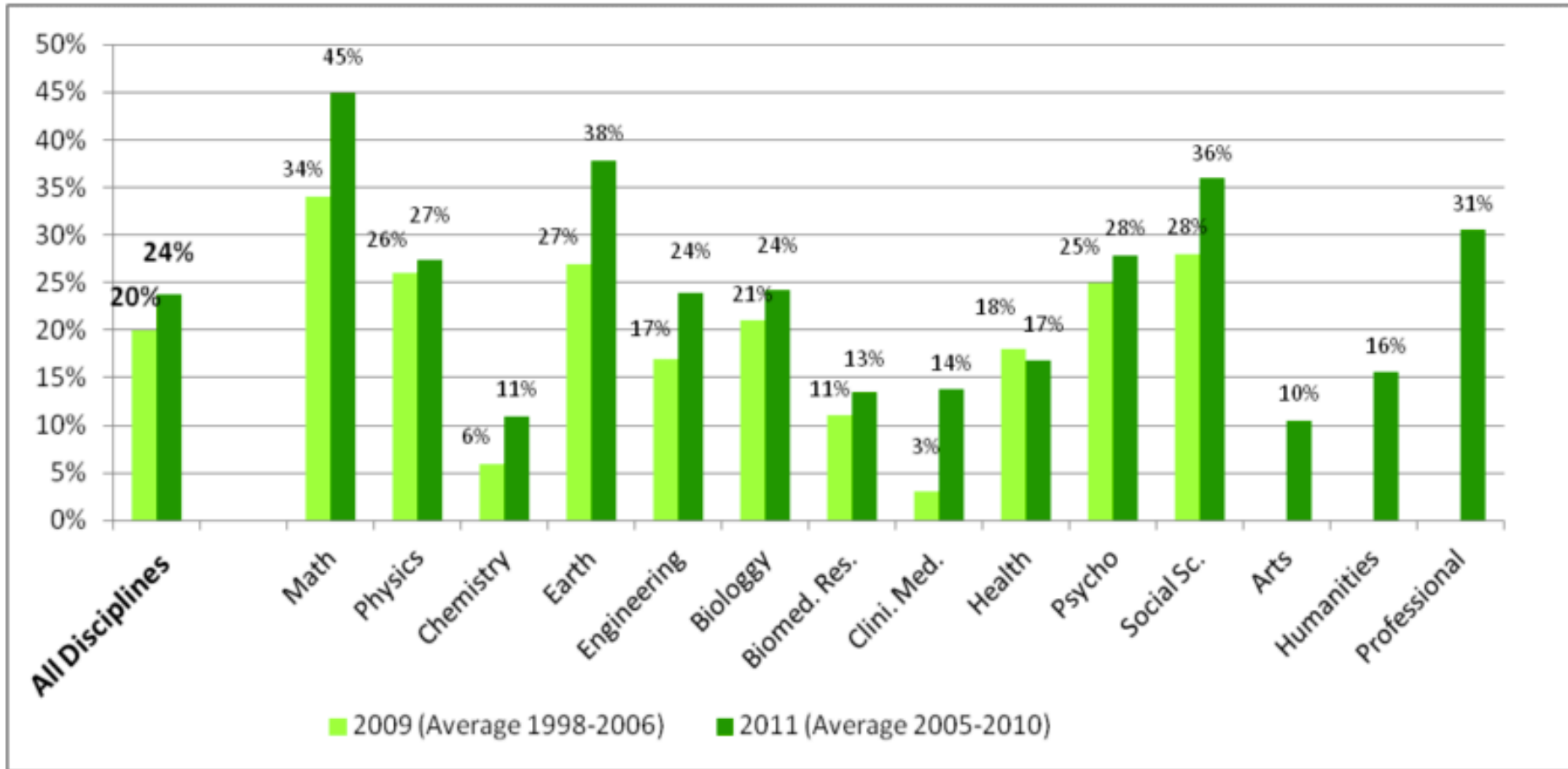


Dallmeier-Tiessen, S., et al. (2011). Highlights from the SOAP project survey. What Scientists Think about Open Access Publishing. Retrieved from <http://arxiv.org/abs/1101.5260>

Auswertung für Deutschland: „89,7% der Wissenschaftler halten Open Access für förderlich für ihr Forschungsfeld“. In: Dallmeier-Tiessen, S., & Lengenfelder, A. (2011). Open Access in der deutschen Wissenschaft – Ergebnisse des EU-Projekts „Study of Open Access Publishing“ (SOAP).

GMS Medizin - Bibliothek - Information, 11(1-2), Doc03. doi:10.3205/mbi000218

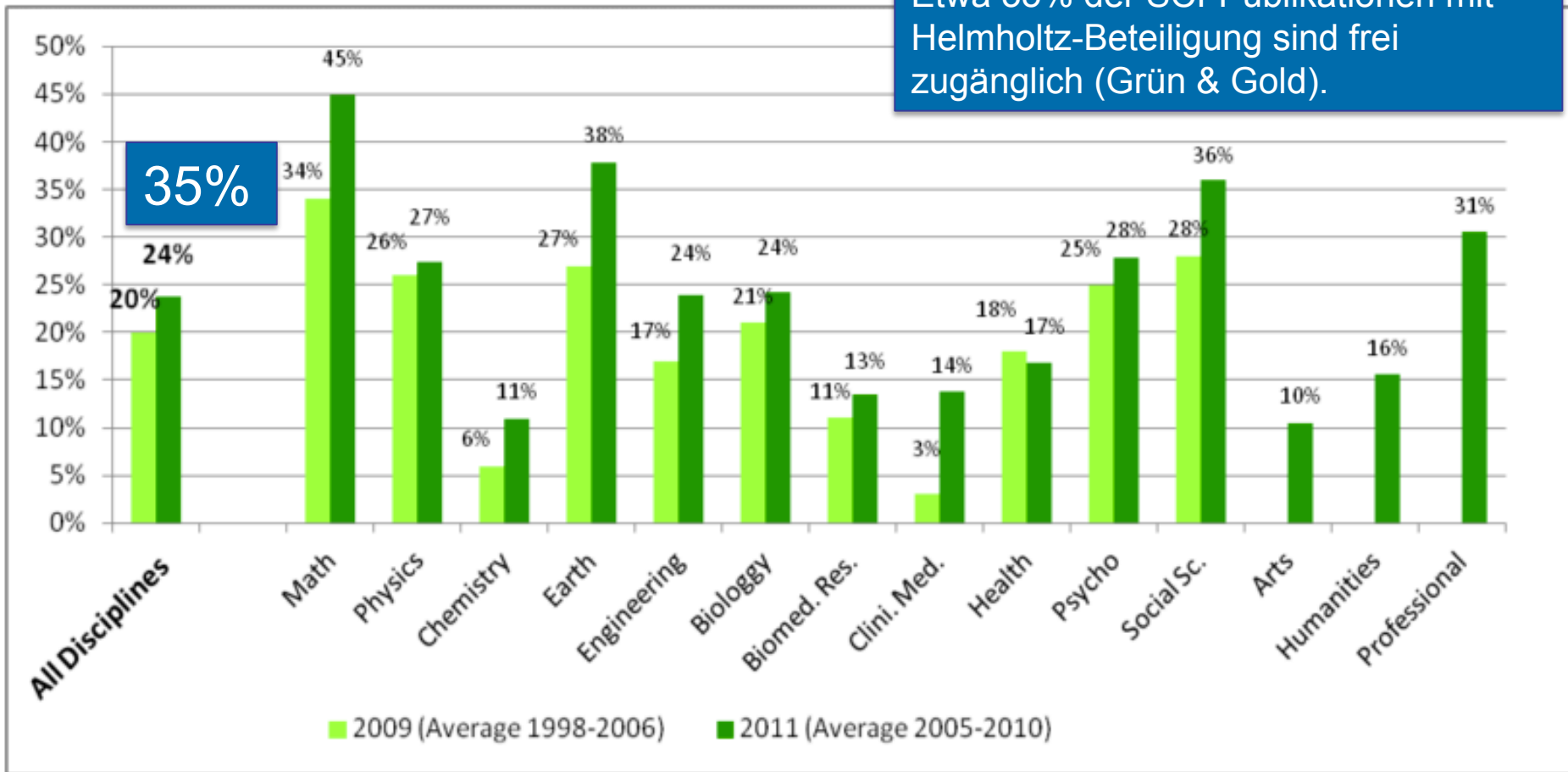
# OPEN ACCESS – SICHT DER WISSENSCHAFT



Gargouri, Y., Larivière, V., Gingras, Y., Carr, L., & Harnad, S. (2012). Green and Gold Open Access Percentages and Growth, by Discipline. 17th International Conference on Science and Technology Indicators (STI). Retrieved from <http://eprints.soton.ac.uk/340294/>

# OPEN ACCESS – SICHT DER WISSENSCHAFT

Etwa 35% der SCI-Publikationen mit Helmholtz-Beteiligung sind frei zugänglich (Grün & Gold).



Gargouri, Y., Larivière, V., Gingras, Y., Carr, L., & Harnad, S. (2012). Green and Gold Open Access Percentages and Growth, by Discipline. 17th International Conference on Science and Technology Indicators (STI). Retrieved from <http://eprints.soton.ac.uk/340294/>

EUROPEAN COMMISSION

PRESS RELEASE

Brussels, 17 July 2012

## Scientific data: open access to research results will boost Europe's innovation capacity

The European Commission today outlined measures to improve access to scientific information produced in Europe. Broader and more rapid access to scientific papers and data will make it easier for researchers and businesses to build on the findings of public-funded research. This will boost Europe's innovation capacity and give citizens quicker access to the benefits of scientific discoveries. In this way, it will give Europe a better return on its €87 billion annual investment in R&D. The measures complement the Commission's Communication to achieve a European Research Area (ERA), also adopted today.

As a first step, the Commission will make open access to scientific publications a general principle of Horizon 2020, the EU's Research & Innovation funding programme for 2014-2020. As of 2014, all articles produced with funding from Horizon 2020 will have to be accessible:

- articles will either immediately be made accessible online by the publisher ('Gold' open access) - up-front publication costs can be eligible for reimbursement by the European Commission; or
- researchers will make their articles available through an open access repository no later than six months (12 months for articles in the fields of social sciences and humanities) after publication ('Green' open access).

The Commission has also recommended that Member States take a similar approach to the results of research funded under their own domestic programmes. The goal is for 60% of European publicly-funded research articles to be available under open access by 2016.

50%  
45%  
40%  
35%  
30%  
25%  
20%  
15%  
10%  
5%  
0%

All Disciplines

mit

31%

Gargouri, Y  
Percentage  
Indicators (S

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CHAFT

# OPEN ACCESS – SICHT DER WISSENSCHAFT

Titel	Abopreis	Verlag
Journal of Radioanalytical and Nuclear Chemistry	15.712 Euro	Springer
Journal of Coordination Chemistry	10.771 Euro	Taylor & Francis
International Journal for Numerical Methods in Engineering	10.111 Euro	Wiley
International Journal of Production Research	9.008 Euro	Taylor & Francis
Molecular Physics	7.997 Euro	Taylor & Francis

KIT Bibliothek. (2013). Die 10 teuersten Zeitschriften der KIT-Bibliothek. 2012/2013. Retrieved October 14, 2013, from <http://www.bibliothek.kit.edu/cms/teuerste-zeitschriften.php>

# OPEN ACCESS – SICHT DER WISSENSCHAFT

## The Cost of Knowledge

### 14558 Researchers Taking a Stand. [See the list](#)

Academics have protested against Elsevier's business practices for years with little effect. These are some of their objections:

1. They charge exorbitantly high prices for subscriptions to individual journals.
2. In the light of these high prices, the only realistic option for many libraries is to agree to buy very large "bundles", which will include many journals that those libraries do not actually want. Elsevier thus makes huge profits by exploiting the fact that some of their journals are essential.
3. They support measures such as SOPA, PIPA and the ~~Research Works Act~~ **Research Works Act**, that aim to restrict the free exchange of information.

The key to all these issues is the right of authors to achieve easily-accessible distribution of their work. If you would like to declare publicly that you will not support any Elsevier journal unless they radically change how they operate, then you can do so by filling in your details on this page.

More information:

- [Statement of Purpose](#)
- [PolyMath journal publishing reform page](#)

[Read our blog](#), and follow the boycott on Twitter [here](#).

### Add your name to the list.

First and Last Name

Affiliation

Email   
only used once to verify your identity; never displayed, never shared

Subject

Comments   
(optional)

Link   
(optional)  
such as a link to a blog post of yours explaining your position

I plan to refrain from:  
 publishing  refereeing  editorial work

 Like 5.6k  Tweet 742  +1 2.558

Please [email me](#) if you have any questions about this page.

[about us](#)

<http://thecostofknowledge.com>



# OPEN ACCESS – SICHT DER WISSENSCHAFT

**SPIEGEL ONLINE UNISPIEGEL** Login | Registrierung

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Nachrichten > UniSPIEGEL > Studium > Arbeitsplatz Uni > Forscher boykottieren Elsevier Verlag

## Forscher-Aufstand gegen Großverlag: Wir zahlen nicht für unsere Gedanken

Von Stefan Kesselhut

Veröffentliche oder verschwinde! Der Publikationsdruck auf Wissenschaftler ist enorm: sie müssen in angesehenen Zeitschriften erscheinen, um ihre Arbeit zu veröffentlichen. Wie hoch sind die horrenden Abo-Gebühren, finden Ta

**The Economist** World politics Business & finance Economics Science

Scientific publishing

## The price of information

Academics are starting to boycott a big publisher of journals

Feb 4th 2012 | From the print edition

SOMETIMES it takes but a single word to change the world. In 1996, the mathematician Gowers, a mathematician at Cambridge, wrote a letter to the editor of the journal *Science* explaining his reasons for his longstanding boy

theguardian

News Sport Comment Culture Business Money Life & style

News Science Peer review and scientific publishing

## Scientists sign petition to boycott academic publisher Elsevier

Cost of Knowledge petition criticises 'exorbitantly high' price of Elsevier's scientific journals and the publisher's 'huge profits'

**nature** International

Home News & Comment Research Careers & Jobs Current Issues

For Authors

News & Comment News 2014 March Article

NATURE | NEWS

## Elsevier boycott gathers pace

Rebel academics ponder how to break free of commercial publisher's grip

John Whitfield

**The New York Times** Science

WORLD U.S. N.Y. / REGION BUSINESS TECHNOLOGY SCIENCE HEALTH SPORTS OPINION

ENVIRONMENT SPACE & COSMOS

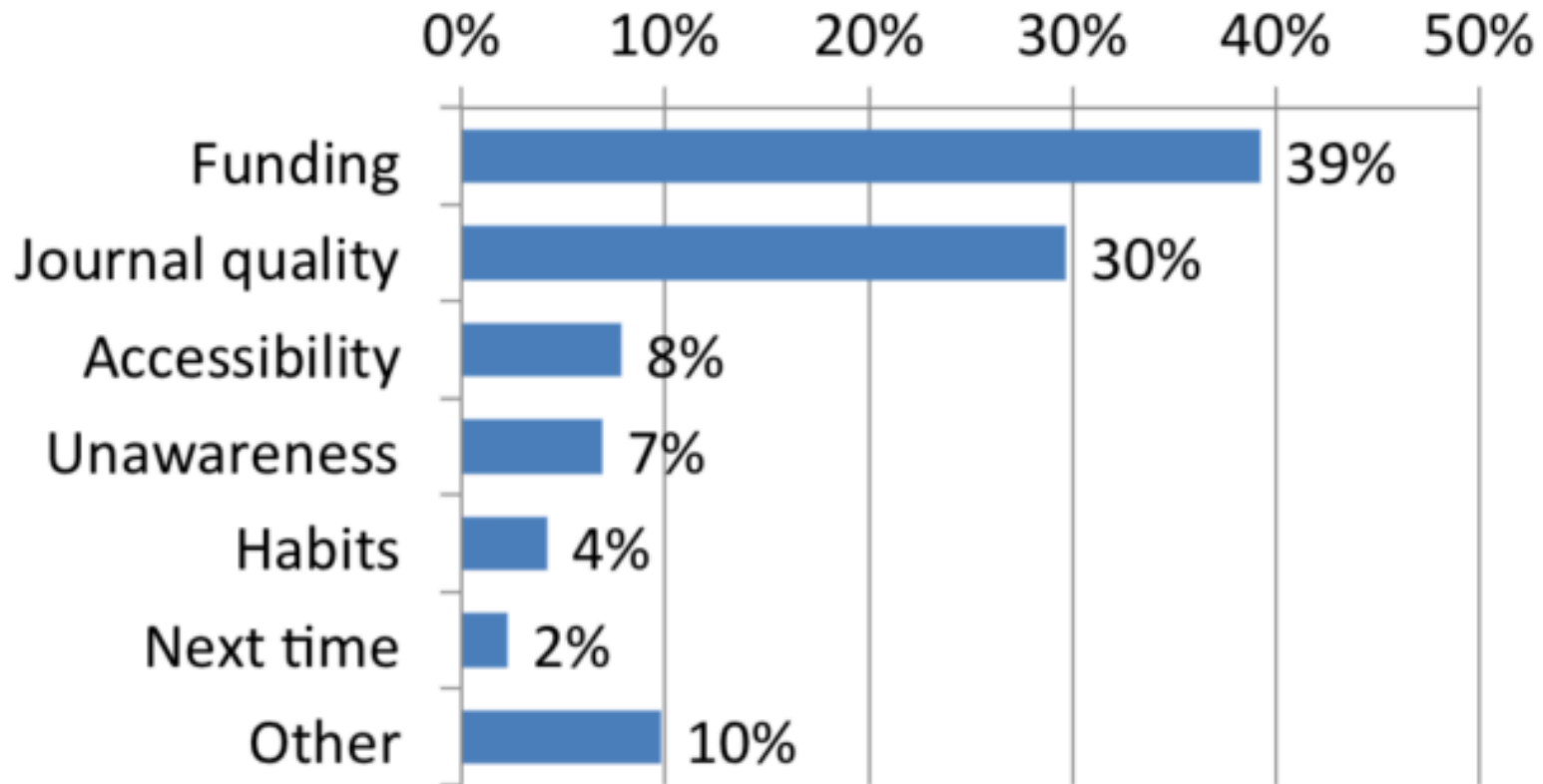
## Mathematicians Organize Boycott of a Publisher

By THOMAS LIN  
Published: February 13, 2012

More than **5,700** researchers have joined a boycott of Elsevier, a leading publisher of science journals, in a growing furor over open access to the fruits of scientific research.

FACEBOOK TWITTER GEMEINSCHAFT

# OPEN ACCESS – SICHT DER WISSENSCHAFT

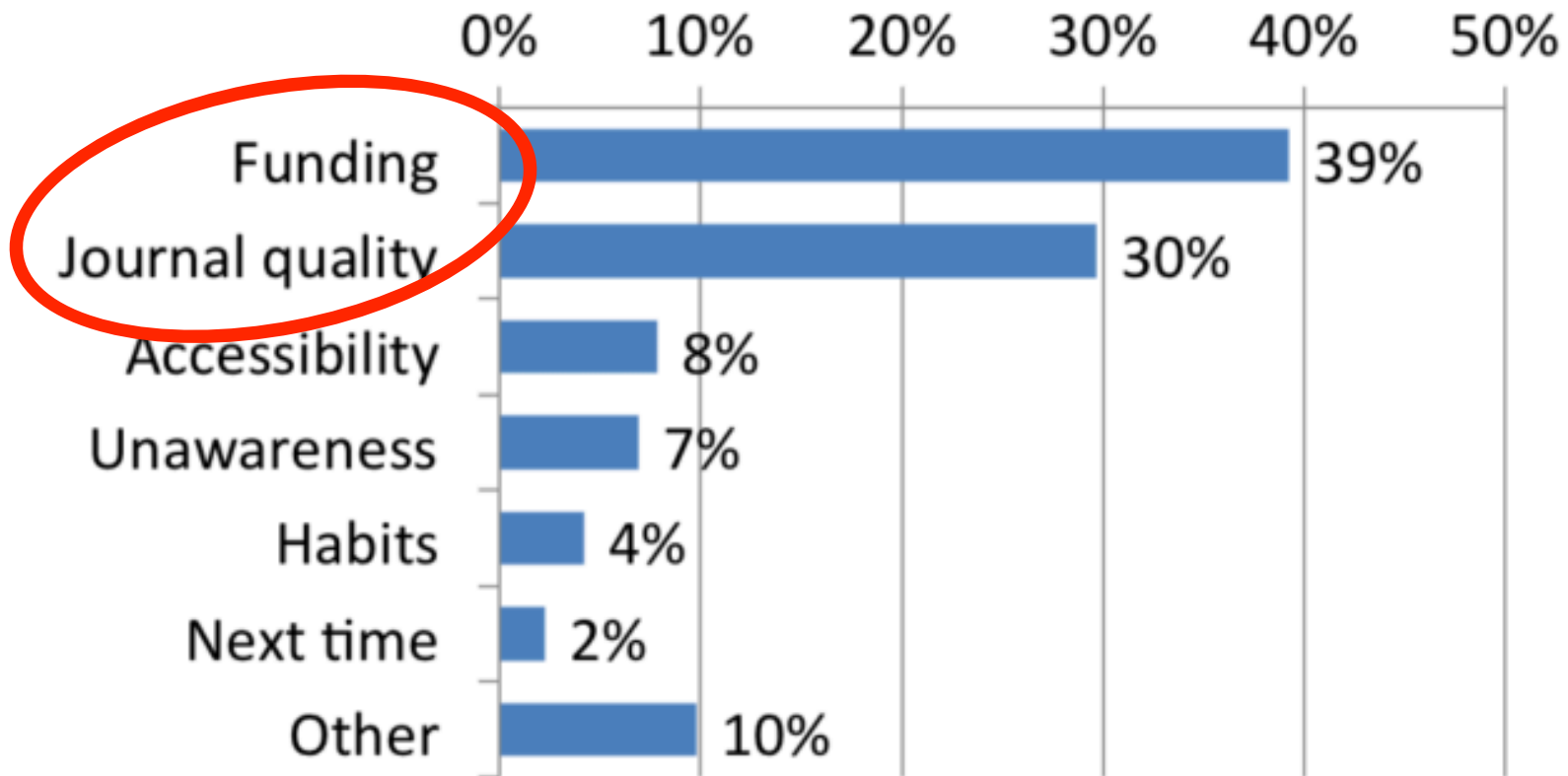


*Figure 5. Specific reasons not to publish open access*

n=4976

Dallmeier-Tiessen, S., et al. (2011). Highlights from the SOAP project survey. What Scientists Think about Open Access Publishing. Retrieved from <http://arxiv.org/abs/1101.5260>

# OPEN ACCESS – SICHT DER WISSENSCHAFT



*Figure 5. Specific reasons not to publish open access*

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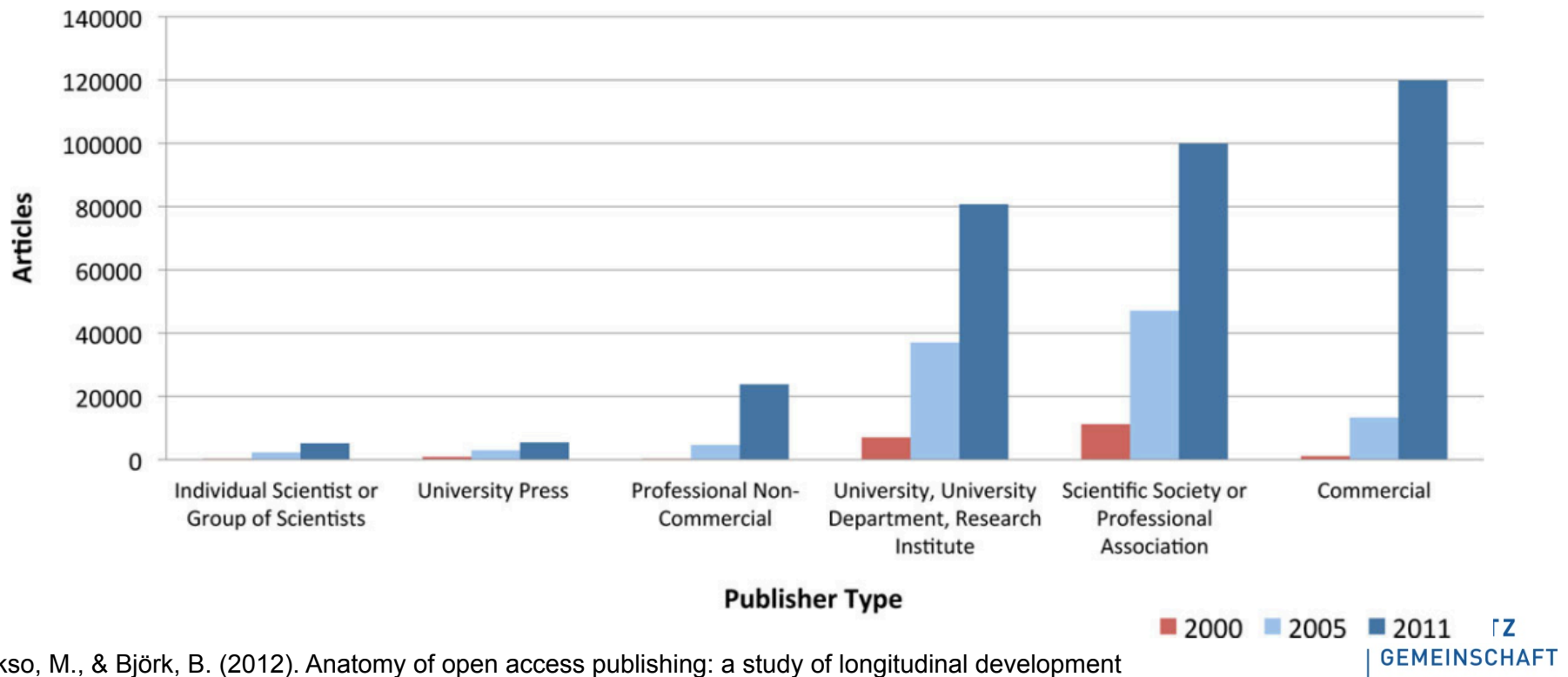
# OPEN ACCESS – METRIKEN UND IMPACT

Jahr	2008	2009	2010	2011
OA-Anteil in Scopus	13,7 %	14,5 %	16,1 %	16,9 %
OA-Anteil in Web of Science	13,5 %	14,3 %	15,4 %	16,2 %

Laakso, M., & Björk, B. (2012). Anatomy of open access publishing: a study of longitudinal development and internal structure. BMC Medicine, 10, 124. doi:10.1186/1741-7015-10-124

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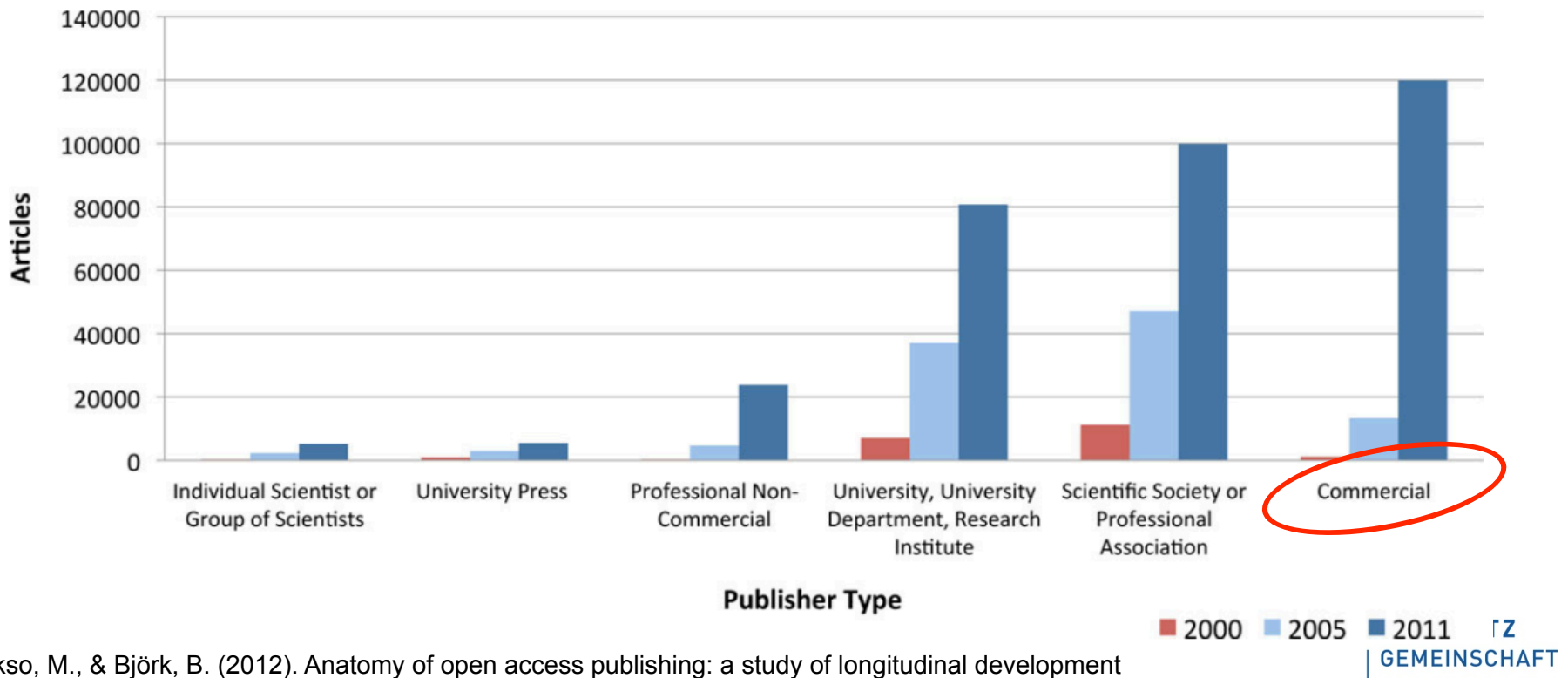
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■ 2000   
 ■ 2005   
 ■ 2011   
 IZ  
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Open Access

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# OPEN ACCESS – METRIKEN UND IMPACT

## ■ Zitationsvorteil durch Open Access?

### The Open Access citation advantage

#### Studies and results to date

Alma Swan

Key Perspectives Ltd, 48 Old Coach Road, Playing Place, Truro, TR3 6ET, United Kingdom

#### Abstract

This paper presents a summary of reported studies on the Open Access citation advantage. There is a brief introduction to the main issues involved in carrying out such studies, both methodological and interpretive. The study listing provides some details of the coverage, methodological approach and main conclusions of each study.

#### The hypothesis

Early studies on the Open Access (OA) citation advantage set out to test the hypothesis that OA, by increasing visibility, findability and accessibility for research articles, would increase citations made to those articles; that is, it would increase research impact over and above citations already gained through the subscription-access system. The expectations were that it would increase usage since one reason for Open Access is that it allows research findings to reach the hitherto unreached who would then be able to make use of those findings in the normal way, which is to read and build upon them.

#### The expectations

It is worth explaining those expectations in a little more detail because it provides more context to the review of the studies so far carried out and helps in the interpretation of their findings.

The original aim was to test whether there was an overall rise in citations for an Open Access body of literature. There certainly was not, even early on, an expectation amongst the thinkers on this topic that OA can work magic and make the uncitable suddenly citable. Citability rests upon the quality, relevance, originality and influence of a piece of work. Research reports that add little or nothing to development or thinking in a field earn little or no attention from other researchers, even if they can be readily accessed.

So the expectations, in essence, derived from a set of logical assumptions:

- that a proportion (whose size varies according to discipline or field) of researchers do not have access through subscription journals to all the published papers that are relevant to, and might influence, their own work
- that these people would avail themselves of the opportunity to access and read these otherwise unavailable documents if they were made freely available online
- that some of those documents would be found to be relevant and applicable to the researchers' work and hence citable

Swan, A. (2010). The Open Access citation advantage: Studies and results to date.

Retrieved from <http://eprints.soton.ac.uk/268516/>

Davis, P. M., & Walters, W. H. (2011). The impact of free access to the scientific literature: a review of recent research. *Journal of the Medical Library Association*, 99(3), 208–217. doi: 10.3163/1536-5050.99.3.008

### The impact of free access to the scientific literature: a review of recent research

Philip M. Davis, PhD; William H. Walters, PhD, FCLIP

See end of article for authors' affiliations.

DOI: 10.3163/1536-5050.99.3.008

**Objectives:** The paper reviews recent studies that evaluate the impact of free access (open access) on the behavior of scientists as authors, readers, and citers in developed and developing nations. It also examines the extent to which the biomedical literature is used by the general public.

**Method:** The paper is a critical review of the literature, with systematic description of key studies.

**Results:** Researchers report that their access to the scientific literature is generally good and improving. For authors, the access status of a journal is not an important consideration when deciding where to publish. There is clear evidence that free access

increases the number of article downloads, although its impact on article citations is not clear. Recent studies indicate that large citation advantages are simply artifacts of the failure to adequately control for confounding variables. The effect of free access on the general public's use of the primary medical literature has not been thoroughly evaluated.

**Conclusions:** Recent studies provide little evidence to support the idea that there is a crisis in access to the scholarly literature. Further research is needed to investigate whether free access is making a difference in non-research contexts and to better understand the dissemination of scientific literature through peer-to-peer networks and other informal mechanisms.

#### INTRODUCTION

A principal argument in support of open access publishing rests on the belief that the subscription-based publishing model has produced a crisis of accessibility to the scientific literature [1–6]. This paper evaluates that claim, reviewing the current literature and showing the ways in which free access has (or has not) had an impact on scholars, clinicians, and the general public in developed and developing nations.

The review assesses impact in terms of reading, citation, and related forms of use. It does not evaluate the extent to which the freely available scientific literature is technically accessible, indexed, cataloged, or available for potential use. The discussion deals only with the scholarly literature, thereby excluding studies of online newspapers, magazines, and trade publications. It also focuses on the natural sciences, since most of the research on free access has dealt with fields such as the biomedical, physical, and computer sciences. Although "open access" is the usual term for scholarly work that is freely accessible online, the term "free access" is used here, since open access is often understood to include issues of copyright, archiving, funding, and social justice that are not addressed in this discussion.

The paper first reviews the impact of free access on the research practices of scholars in developed and developing nations, then examines the use of freely available biomedical literature by health professionals and the lay public. It concludes with a discussion of avenues for further research.

 Supplemental Tables 1 and 2 are available with the online version of this journal.

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#### Highlights

- Researchers in the sciences do not see access to the scientific literature as an especially important problem.
- Authors consider factors such as journal reputation and the absence of publication fees when deciding where to submit their work. In contrast, free access is not a significant factor in their submission decisions.

#### Implications

- While open access has the potential to expand the authorship and readership of the scientific literature, that potential has not yet been realized.
- Librarians who encourage scientists to publish in open access journals should be aware of the authors' priorities and perspectives. Authors in the sciences tend to focus on citation impact, reputation, and accessibility to a specialized readership—not breadth of readership, copyright, or access status.
- Journal publishers that charge publication fees may want to consider alternative sources of revenue. Authors' resistance to publication fees is a major barrier to greater participation in open access initiatives.

#### METHODS

The analysis is based on a review of current empirical studies (January 2001 through December 2010) that attempt to measure—directly or indirectly—access to and use of the scientific literature by academics, clinicians, and the lay public. Relevant works were identified from several sources: bibliographic data-

J Med Libr Assoc 99(3) July 2011




# OPEN ACCESS – METRIKEN UND IMPACT

## ■ Zitationsvorteil durch Open Access?

The Open Access citation advantage  
Studies and results to date

Swan, A. (2010). The  
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The impact of free access to the scientific literature: a review of recent research 

Philip M. Davis, PhD; William H. Walters, PhD, FCLIP

See end of article for authors' affiliations.

DOI: 10.3163/1536-5050.99.3.008

### Measure

### Result

Studies finding a positive Open Access citation advantage

27

Studies finding no Open Access citation advantage (or an OA citation disadvantage)

4

Early studies on the Open Access (OA) citation advantage, based on the assumption that OA, by increasing visibility, findability and accessibility for research articles, would increase OA, by increasing visibility, findability and accessibility for research articles, would increase citations made to those articles; that is, it would increase research impact over and above the impact already gained through the subscription-access system. The expectations were that it would increase usage since one reason for Open Access is that it allows research findings to reach the hitherto unreached who would then be able to make use of those findings in the normal way, which is to read and build upon them.

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#### Highlights

- Researchers in the sciences do not see access to the scientific literature as an especially important problem.
- Authors consider factors such as journal reputation and the absence of publication fees when deciding where to submit their work. In contrast, free access is not a significant factor in their submission decisions.

**Citations.** The impact of online and open access on scholars' citation behavior is not entirely clear. There is some dispute over whether increased access has broadened the scope of cited material. Using a complex inferential model, Evans [39] reported that

 Supplemental Tables 1 and 2 are available with the online version of this journal.

208

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J Med Libr Assoc 99(3) July 2011

# OPEN ACCESS – METRIKEN UND IMPACT

## The careers of converts – how a transfer to BioMed Central affects the Impact Factors of established journals

Kam Marwaha on January 15, 2014 at 9:39 am - 3 Comments

This is a post by **Stefan Busch, Publisher at [BioMed Central](#)**

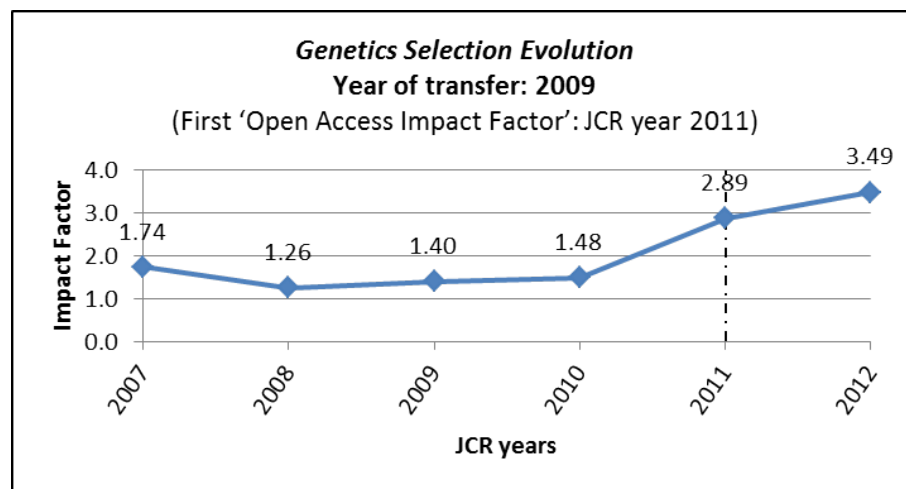
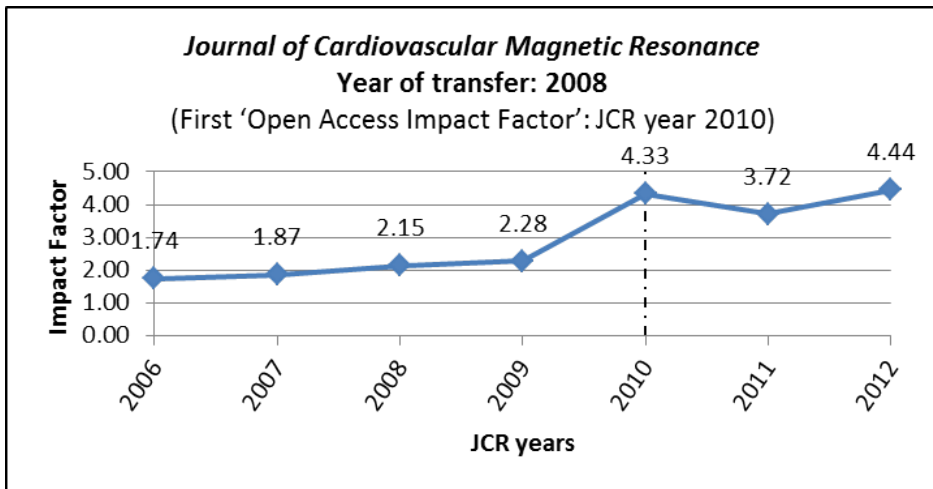
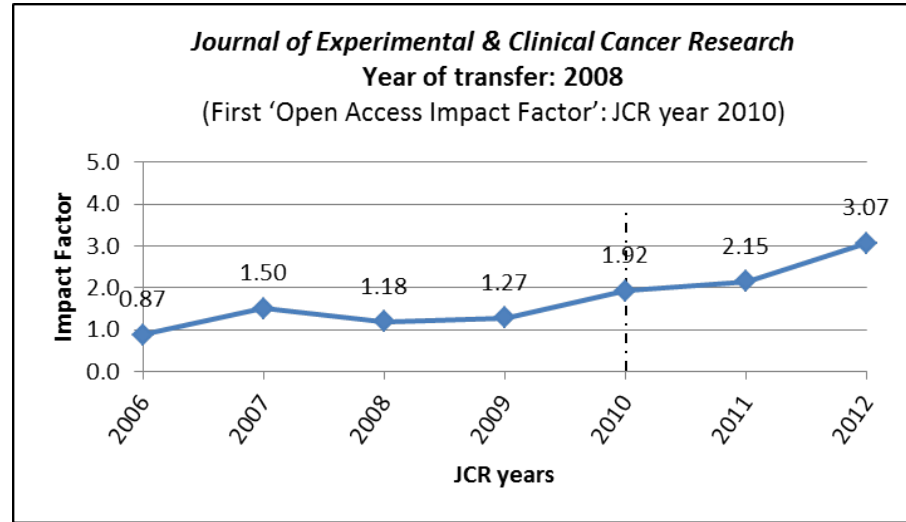
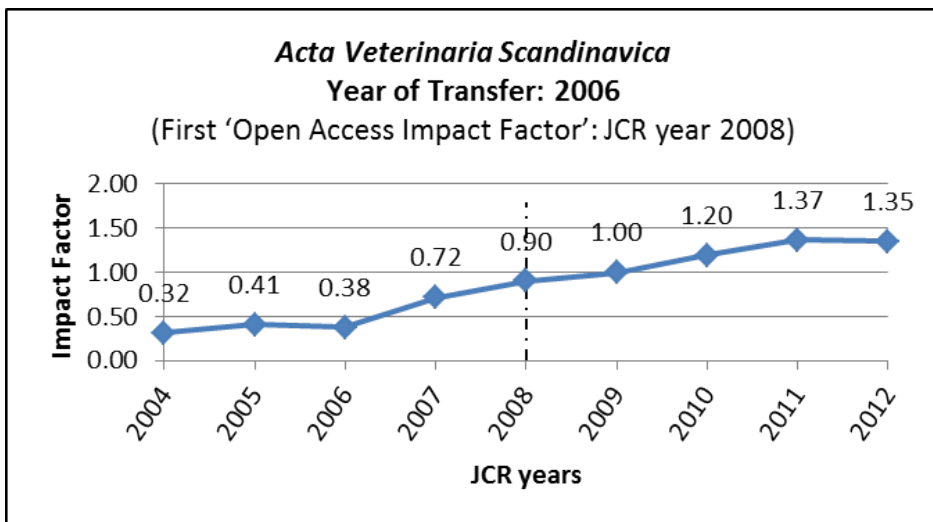
Does open access increase the likelihood for articles to be cited, or to be cited more often, compared to articles published in subscription-based journals? The questions around such an 'open access citation effect' – its size, indeed its existence, and how it may relate to different open access models – have been discussed for many years.

A [2010 literature review](#) by Alma Swan showed that the vast majority of relevant studies found evidence for the effect, and the [growing number of such studies](#) adds to our understanding of it and how it varies in relation to factors like academic disciplines, journal ranking, or open access models.



Busch, S. (2014, January 15). The careers of converts – how a transfer to BioMed Central affects the Impact Factors of established journals. BioMed Central Blog. Retrieved from <http://blogs.biomedcentral.com/bmcblog/2014/01/15/the-careers-of-converts-how-a-transfer-to-biomed-central-affects-the-impact-factors-of-established-journals/>

# OPEN ACCESS – METRIKEN UND IMPACT



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# OPEN ACCESS – METRIKEN UND IMPACT

- San Francisco Declaration on Research Assessment

## San Francisco

# DORA

## Declaration on Research Assessment

Alberts, B. (2013). Impact factor distortions. *Science*, 340(6134), 787. doi:10.1126/science.1240319

Schekman, R., & Patterson, M. (2013). Reforming research assessment. *eLife*, 2, e00855. doi:10.7554/eLife.00855

<http://am.ascb.org/dora/>

# OPEN ACCESS – METRIKEN UND IMPACT

- San Francisco Declaration on Research Assessment
  - ***„Do not use journal-based metrics, such as Journal Impact Factors, as a surrogate measure of the quality of individual research articles, to assess an individual scientist’s contributions, or in hiring, promotion, or funding decisions.“***

Alberts, B. (2013). Impact factor distortions. *Science*, 340(6134), 787. doi:10.1126/science.1240319

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# OPEN ACCESS – METRIKEN UND IMPACT

## ■ San Francisco Declaration on Research Assessment

### Der Impact Factor hat ausgedient!

Kommentar von Hans-Christoph Keller

Der Zwang zum Publizieren ist eine Krankheit, an der die Wissenschaft seit Jahren leidet. Das Gesetz „Veröffentliche oder stirb“ (publish or perish) gehört in der Welt der Forschung genauso abgeschafft wie die Todesstrafe in einem Rechtsstaat. Der Virus wurde injiziert, als in den 1960er Jahren der Journal Impact Factor aufkam. Das ist der Einflussfaktor, den wissenschaftliche Fachzeitschriften wie Nature oder Science haben. Jedes Jahr berechnet ihn der Konzern Thomson Reuters für die wichtigsten Zeitschriften. Wer in so genannten High Impact-Magazinen veröffentlicht, hat bessere Chancen bei Jobs und Berufungen. Wissenschaftskarrieren hängen also in hohem Maße von der Menge – und damit erst einmal vor allem der Quantität – der Publikationen ab. Viele Forscher klagen über dieses Hamsterrad. Gleichzeitig machen die meisten mit. Das hat etwas Heuchlerisches.

Das Publizieren im Hochgeschwindigkeitszug muss aufhören. Die Wende hat zum Glück bereits begonnen. Wissenschaftliche Fachmagazine und deren Verlage verlieren an Einfluss. Der Journal Impact Factor mit dem lediglich auch die Masse eines Forschungs-

Hans-Christoph  
des Hochsch

### Handball gegen Fußball Den Erfolg von Wissenschaft zu messen...

*...wie soll das gehen? Publikationen als elementarer Teil des wissenschaftlichen Arbeitens sind da naheliegend, nicht zuletzt weil sie zählbar sind. Seit Anfang der 1960er gibt es den Science Citation Index (SCI), in dem unter anderem die angegebenen Referenzen, also die Zahl der Zitate ausgewertet werden. Dabei wird allerdings eher die Resonanz eines Artikels und nicht seine Relevanz gemessen.*

Der SCI, anfangs erstellt vom Institute for Scientific Information (ISI), wurde schnell kommerzialisiert und erweitert.

den ausgewerteten Zeitschriften).

Inzwischen sind neben SCI und Scopus weitere solcher Datenbanken entstanden, zum Beispiel Google Scholar Citation. Die dort angewandten Metriken verdichten die Resonanz auf das Werk eines Wissenschaftlers auf eine Zahl, die wiederum natürlich stark von den ausgewerteten Werken abhängt. Bei Google etwa ist diese Datengrundlage unbekannt.

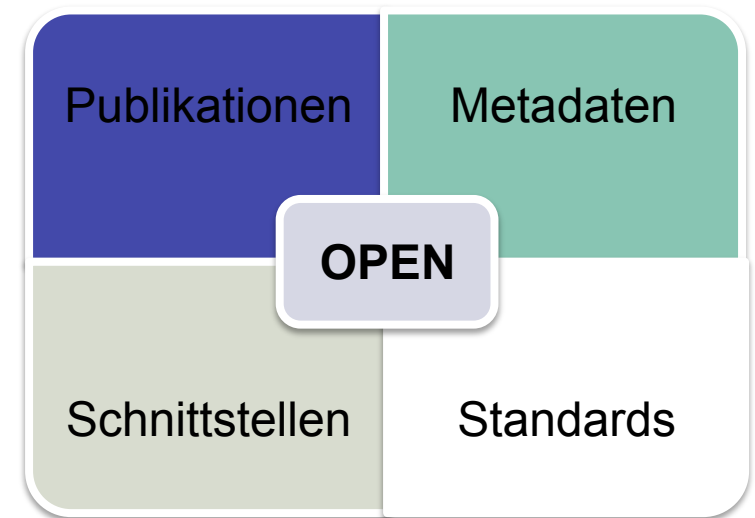
Diese Resultate sind allerdings nicht schon das Ergebnis, sondern nur Werk-

[http://www.helmholtz.de/fileadmin/user\\_upload/04\\_mediathek/perspektiven/helmholtz\\_mag\\_WEB.pdf](http://www.helmholtz.de/fileadmin/user_upload/04_mediathek/perspektiven/helmholtz_mag_WEB.pdf)

<http://gfzpublic.gfz-potsdam.de/pubman/item/escidoc:136712>

# OPEN ACCESS – METRIKEN UND IMPACT

- Open Access bietet das Potenzial transparente und sachgerechte Metriken zu etablieren, die multidimensionale Betrachtungen ermöglichen
- Voraussetzungen
  - offene Publikationen
  - offene Standards
  - offene Metadaten
  - offene Schnittstellen



Shotton, D. (2013). Open citations. *Nature*, 502(7471), 295–297. doi:10.1038/502295a.

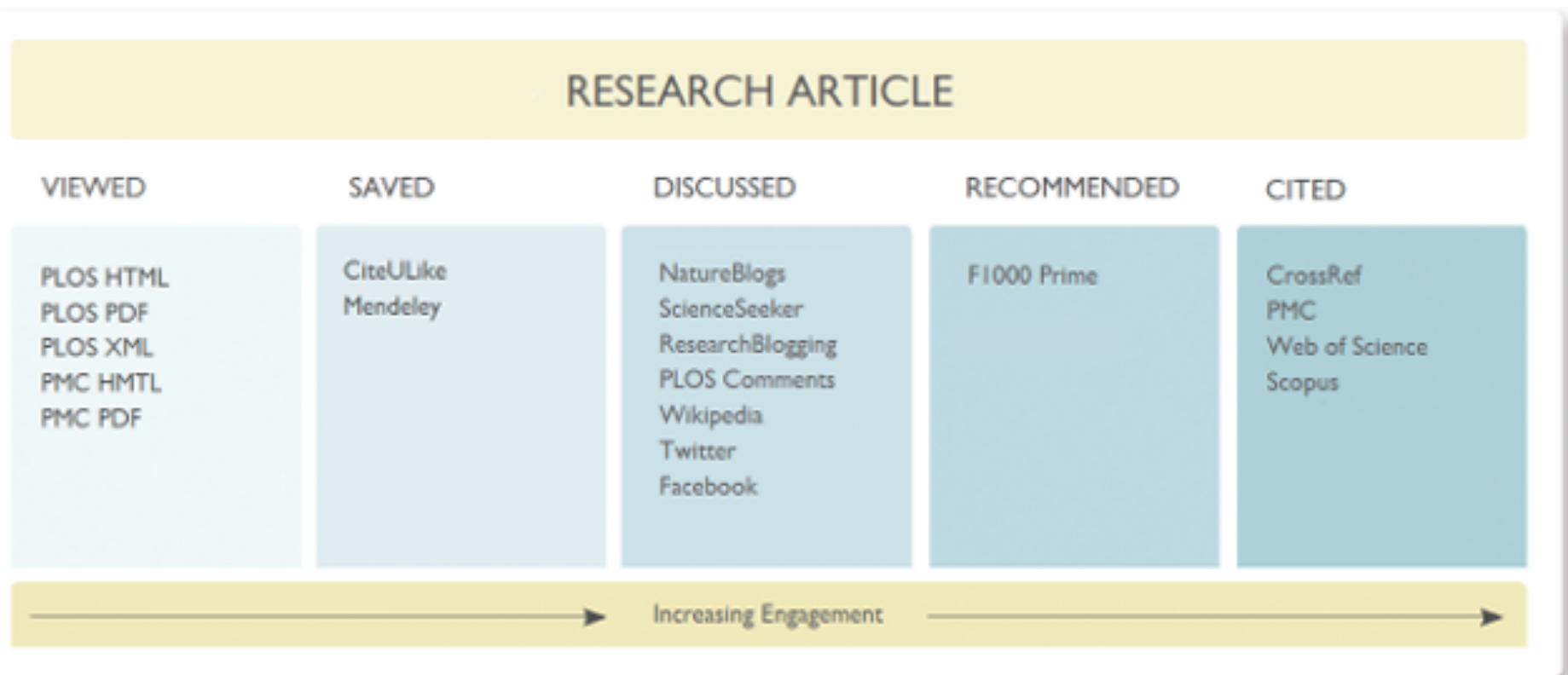
Siehe auch: <http://opencitations.net>

Fenner, M. (2013). What can article-level metrics do for you? *PLoS Biology*, 11(10), e1001687. doi:

10.1371/journal.pbio.1001687. Siehe auch: <http://article-level-metrics.plos.org/>

# OPEN ACCESS – METRIKEN UND IMPACT

## ■ Beispiel: PLOS Article-Level Metrics



Fenner, M. (2013). What can article-level metrics do for you? PLoS Biology, 11(10), e1001687. doi: 10.1371/journal.pbio.1001687. Siehe auch: <http://article-level-metrics.plos.org/>  
Grafik: doi:10.1371/journal.pbio.1001687



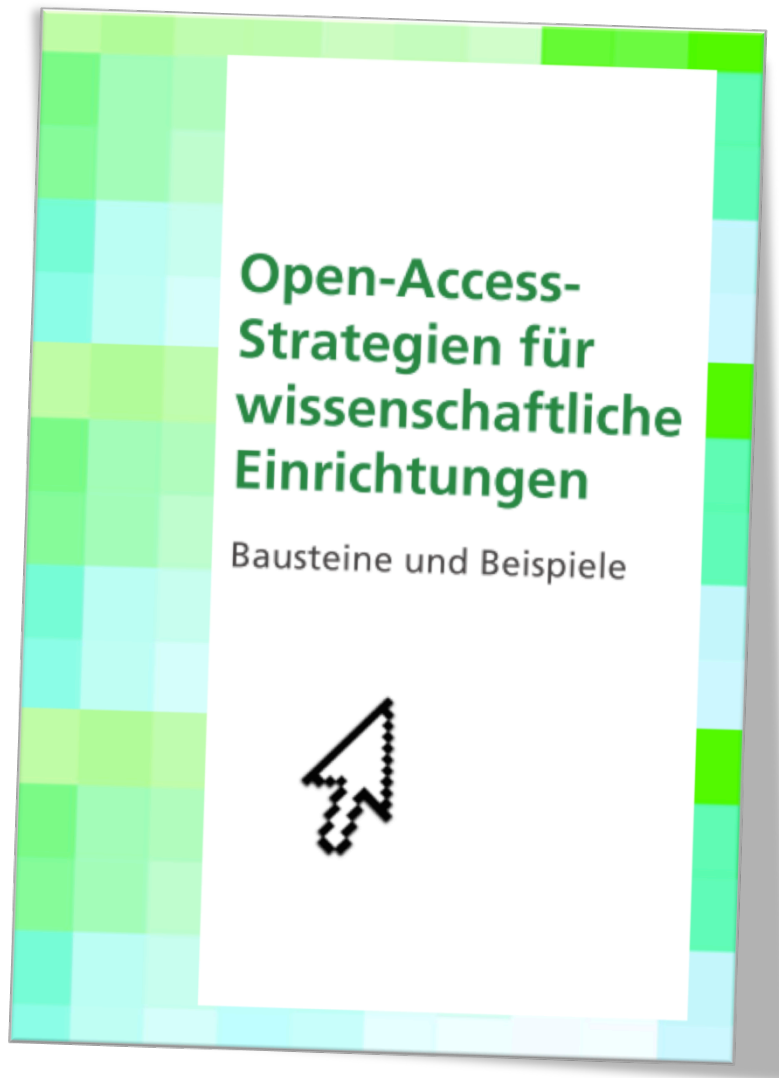
# VON OPEN ACCESS ZU OPEN SCIENCE



The Royal Society. (2012). Science as an open enterprise. Retrieved from [http://royalsociety.org/uploadedFiles/Royal\\_Society\\_Content/policy/projects/sape/2012-06-20-SAOE.pdf](http://royalsociety.org/uploadedFiles/Royal_Society_Content/policy/projects/sape/2012-06-20-SAOE.pdf)

- Open Access ist die **Grundlage für die digitale Wissenschaft**
- Open Access ist in den STM-Fächern eine **etablierte Publikationsstrategie**
- Die Frage nach dem „ob“ ist längst geklärt; die Frage dem „wie“ bringt **vielfältige Herausforderungen** mit sich
- Wissenschaftliche **Einrichtungen** und **Förderer** müssen **Weichen stellen**
- **Open-Access-Grün** und **Open-Access-Gold** sind **gleichberechtigte Strategien**
- Open Access ebnet den Weg hin **zu Open Science**

# OPEN-ACCESS-STRATEGIEN



- Unterzeichnung der „Berliner Erklärung“
- Verabschiedung einer Open-Access-Leitlinie
- Zur Rolle eines Open-Access-Beauftragten
- Aufbau und Vernetzung eines Repositoriums
- Gründung eines Open Access-Verlages
- Zum nachhaltigen Umgang mit Open-Access-Publikationsgebühren

# Danke für Ihre Aufmerksamkeit!

heinz.pampel@oa.helmholtz.de

<http://oa.helmholtz.de>



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