

# Projekt DEAL

## Foresighting Open Science, 02.04.2019

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# DEAL in Context

High profit margins of large STM publishers

MPDL White Paper on OA Transformation  
(<http://dx.doi.org/10.17617/1.3>)

OA principle in EU's Horizon 2020

Global alliance OA2020  
(<https://oa2020.org/>)

Berlin Declaration on Open Access 2003:  
*„Our mission of disseminating knowledge is only half complete if the information is not made widely and readily available to society.“*

cOAlition S: Making Open Access a Reality by 2020

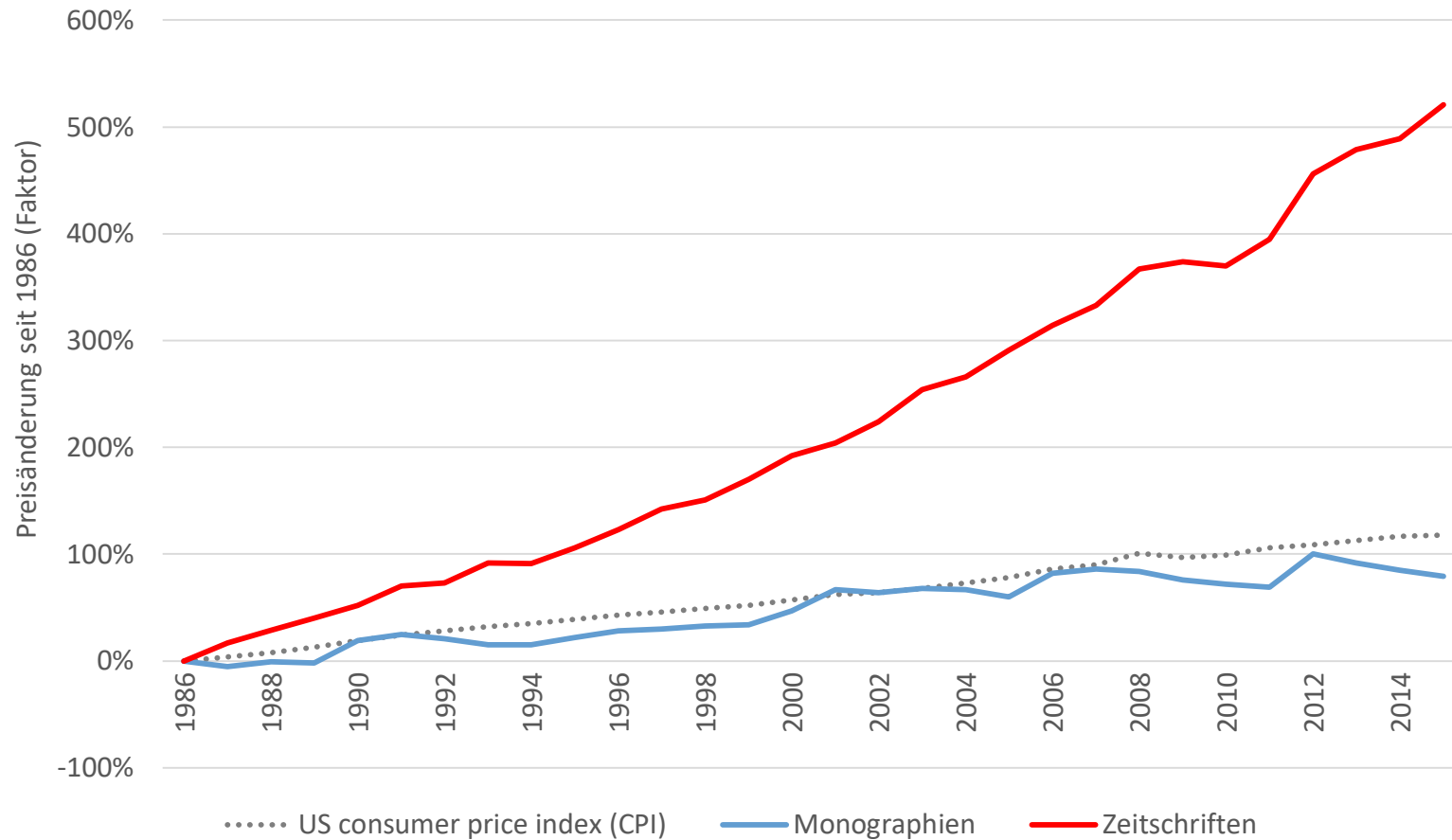
***Project DEAL: Negotiating nationwide licensing agreements for the entire e-journal portfolio of major academic publishers on a publish&read basis***

Transformation applied to established publication channels

Negotiation style reloaded / scientists get engaged

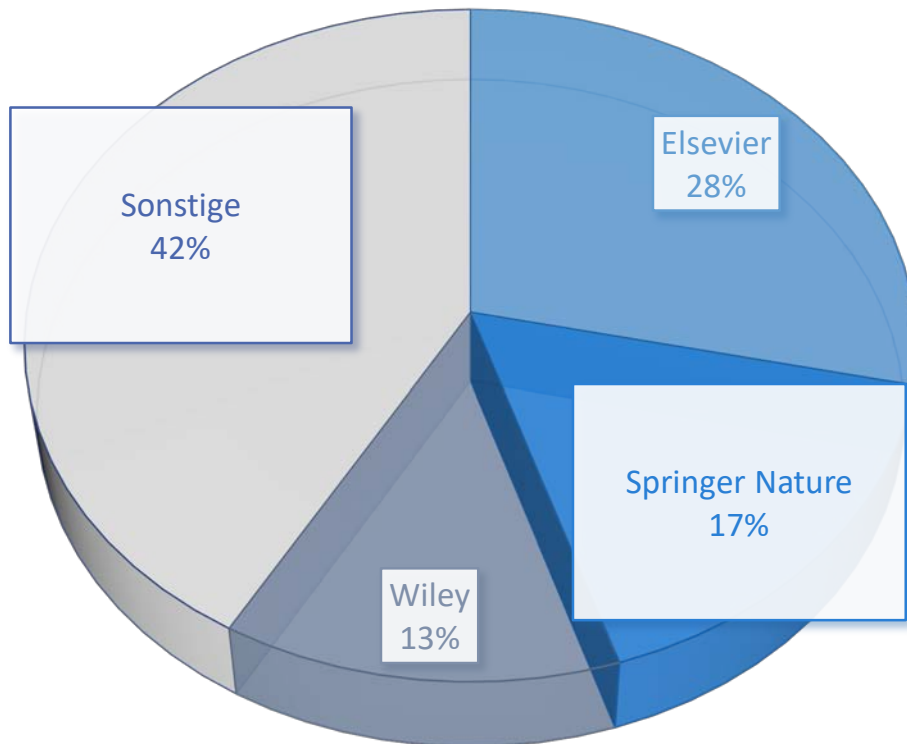
Open Access publishing as the only effective remedy against piracy

# Serial crisis and its consequences



Quelle: ARL Statistics 2014-2015. Association of Research Libraries, Washington, DC

## Market share of big publishers



Total spending on journals at German Universities in 2015

*(Source: Project DEAL)*

# Towards a more transparent cost structure



[https://oa2020.org/wp-content/uploads/pdfs/B13\\_Dirk\\_Pieper.pdf](https://oa2020.org/wp-content/uploads/pdfs/B13_Dirk_Pieper.pdf)

## OA 2020 in Germany



**DEAL:**  
Conclude nationwide license agreements including OA components with major STM publishers



**OA2020-DE:**  
Create conditions for the large-scale open access transformation (complementary to DEAL by developing new OA business models and by stabilizing the funding of articles in pure OA journals)

## DEAL Negotiation Goals

- **Eligible institutions:** all mainly publicly funded academic institutions in Germany
- **PAR model (Publish&Read)**
  - All publications by corresponding authors of eligible institutions become open access immediately upon publication (CC-BY)  
(PUBLISH component)
  - DEAL institutions obtain perpetual access to the complete e-journal portfolio of the publisher  
(READ component)
- **Fair pricing** according to an innovative formula that is solely based on the publication output and calculated with an adequate PAR fee
- DEAL covers both **gold and hybrid** Open Access journals

# DEAL Project Structure





## DEAL Timeframe

From 2014: Preparatory steps

- Establishing the project structure
- Selecting publishers
- Obtaining negotiation mandates
- Analysing data
- Resolving legal issues (including antitrust clearance)

2016: Start of negotiations with Elsevier

2017: Start of negotiations with Springer Nature and Wiley

2018: Interim agreements with Springer Nature and Wiley

Continued negotiations with all publishers



## DEAL Negotiations: Springer Nature

Negotiations with Springer Nature at a glance:

- 03/22/16: Workshop with Springer Nature including discussions about possible DEAL negotiations
- 05/03/16: Decision by the project steering committee to start exploratory talks in 2017
- 05/17/17: Start of negotiations
- 10/12/17: HRK press release regarding the current state of negotiations and the temporary arrangement for 2018
- 12/04/18: HRK press release regarding the current state of negotiations and the temporary arrangement for 2019
- 08/22/19: HRK press release regarding the signing of a Memorandum of Understanding

# DEAL Negotiations: Springer Nature - Memorandum of Understanding

- Agreement period: 2020-2022, with optional renewal for 2023
- Access to the issues of around 1,900 journals published during the contract period will be included: all Springer, Springer Medical/Medizin, Palgrave, Adis, Macmillan academic journals.
- Not included are: Nature and Nature branded journals and purely professional as well as magazines (like Scientific American, Spektrum der Wissenschaft).
- Participating institutions receive complementary backfile access to issues of licensed journals during the contract period back to 1997 or to the extent Springer Nature's rights in the licensed journals permit. Springer Nature and DEAL desire to permanently close gaps in journal archive content of certain Springer Nature journals.
- From 1.1.2020, publications by authors from entitled institutions may be published open access in the mentioned around 1,900 subscription journals of the publisher.
- Publish and Read Fee (PAR-Fee): 2750 € per article.
- The agreement will enable open access publishing by authors from entitled institutions (submitting corresponding authors) in around 600 Springer Nature fully open access journals (including Nature Communications and Scientific Reports).


## DEAL Negotiations: Wiley

- Conclusion of contract with Wiley on 15.01.2019



Science Home News Journals Topics Careers

SHARE



DAVIDE BONAZZI@SALZMANART

Groundbreaking deal makes large number of German studies free to public

By Kai Kupferschmidt | Jan. 15, 2019, 4:45 PM

## DEAL Negotiations: Wiley

### Negotiation goals achieved:

- ✓ **Participating institutions:** around 700 institutions according to generic definition
- ✓ **PAR model (Publish&Read)**
  - All publications of Submitting Corresponding Authors from German academic institutions can be published Open Access in around 1.700 journals (only few exceptions)
  - The DEAL institutions have permanent full-text access to the entire title portfolio, around 1.700 journals
- ✓ **Appropriate pricing** is based on a PAR-fee: 2.750 € per publication
- ✓ **Golden Open Access** publishing is also included: 20% discount on list prices
- ✓ **Transparency:** Contract published on 18.02.2019 (<https://www.projekt-deal.de/wiley-vertrag/>)

## DEAL Negotiations: Elsevier

- Negotiations since summer 2016
- **Non-renewal** of licence agreements by about 200 academic institutions, including major universities and research institutes for 2018 (partly starting in 2017)
- **Access** was initially kept open until mid 2018 and cut off in the course of the interruption of negotiations (<https://www.hrk.de/press/press-releases/press-release/meldung/deal-and-elsevier-negotiations-elsevier-demands-unacceptable-for-the-academic-community-4409/>)
- Renowned scientists **resign from Elsevier functions**  
(<https://www.hrk.de/presse/pressemitteilungen/pressemitteilung/meldung/wissenschaftler-legen-herausgeberschaft-von-elsevier-zeitschriften-nieder-4232/>)
- **Major issues:** principle agreement on the PAR model, its transformative nature and the cost associated with it
- Negotiations can be resumed at any time on the basis of DEAL's clearly defined goals

## DEAL Strategy: Key Elements

- **PAR model** with clear Open Access transformation agenda
- German Rectors' Conference (representing the Alliance of German Science Organisations) in the lead: mandated by the **scientific community**
- Initial negotiations with the **three major STM publishers** (Elsevier, Springer Nature, Wiley)
- Internal **transformative cost distribution** scheme required to enhance acceptance
- **Transparency:** agreements must be made publicly available
- **International dimension:** Possible role model for OA transformation process, which requires global support

# Journal Impact Factor

- The Journal Impact Factor (JIF) is, by far, the most discussed bibliometric indicator.
  - Since its introduction over 40 years ago, it has had enormous effects on the scientific ecosystem:
    - transforming the publishing industry,
    - shaping hiring practices,
    - allocation of resources,
- => Result: reorientation of research activities and dissemination practices of scholars.



# Calculation

- The calculation of the JIF is relatively straightforward: the ratio between the number of citations received in a given year by documents published in a journal during the two previous years, divided by the number of items published in that journal over the two previous years.
- More specifically, the JIF of a given journal for the year 2017 will be obtained by the following calculation:

Number of citations received in 2017 by items published  
in the journal in 2015-2016 divided by

Number of citable items published in the journal in 2015-2016

# Critics

The JIF has been called a “pox upon the land”, “a cancer that can no longer be ignored”, and the “number that’s devouring science”.

- The inclusion of journal self-citations in the calculation of the Journal Impact Factor (JIF) has been a cause for concern, as it opens the door for editorial manipulations of citations.
- Need for surveillance, the push for administrative measures of scholarly performance and productivity and the growing need for post-publication measures of scholarly impact.
- The impact factor of a given journal does not allow for inferences on the quality of any particular article published in that journal.

**Thank you for your attention**

<https://www.projekt-deal.de/>