Financing the Transition to Open Access

Mikael Laakso, D.Sc. (Econ.)

Associate Professor

Hanken School of Economics, Helsinki, Finland

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@mikaellaakso





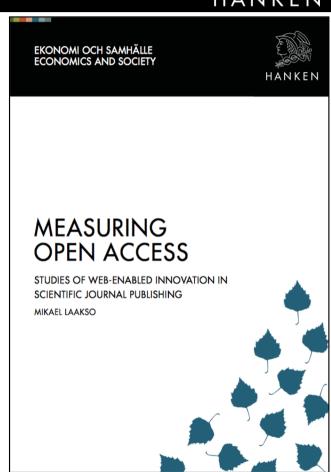




My background and perspective



- » Research has been focusing on how OA has been introduced and changed scholarly journal publishing.
- » Member of the H2020 Commission Expert Group "Future of Scholarly Publishing and Scholarly Communication (FSP)"
- » Member of the strategy group for journal publisher negotiations on behalf of the Finnish university library consortium (FinElib).



http://hdl.handle.net/10138/45238

Agenda



- » What does the current landscape look like?
- » Boiling down the problem
- » Five essential steps for transition
- » Homework

Disclaimer



This presentation contains only my personal views and opinions. As such does not reflect those of my affiliations or collaborators.

The uphill starting position of open access



» Major publishers having no reason to hurry

- » Market-controlling power over journal portfolios.
- » Economies of scale in digital publishing.

» Academic merit systems

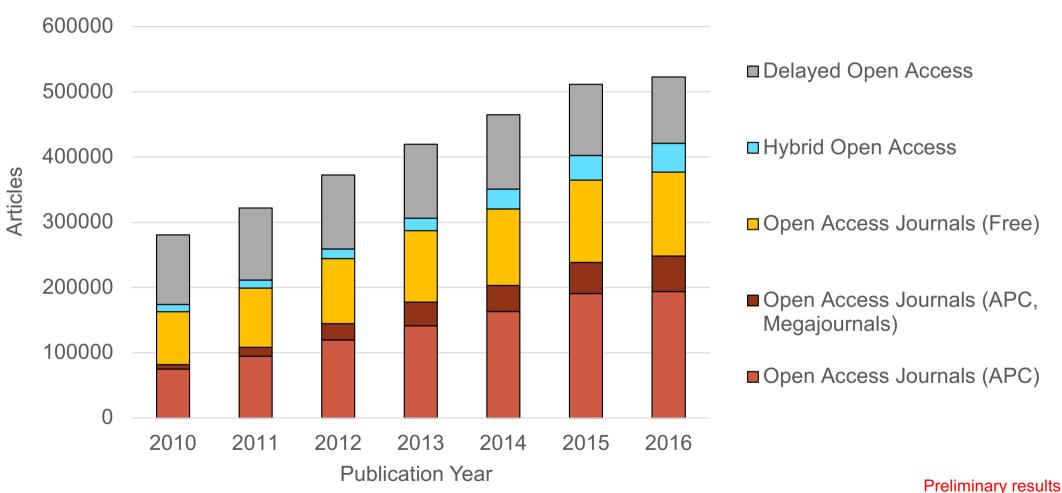
» Academics work hard to get published in prestigious journals & to gain. positions on editorial boards.

» Universities/libraries unable to act aggressively

» Subscriptions increasingly expensive, very little money left over to support alternative publishing models.

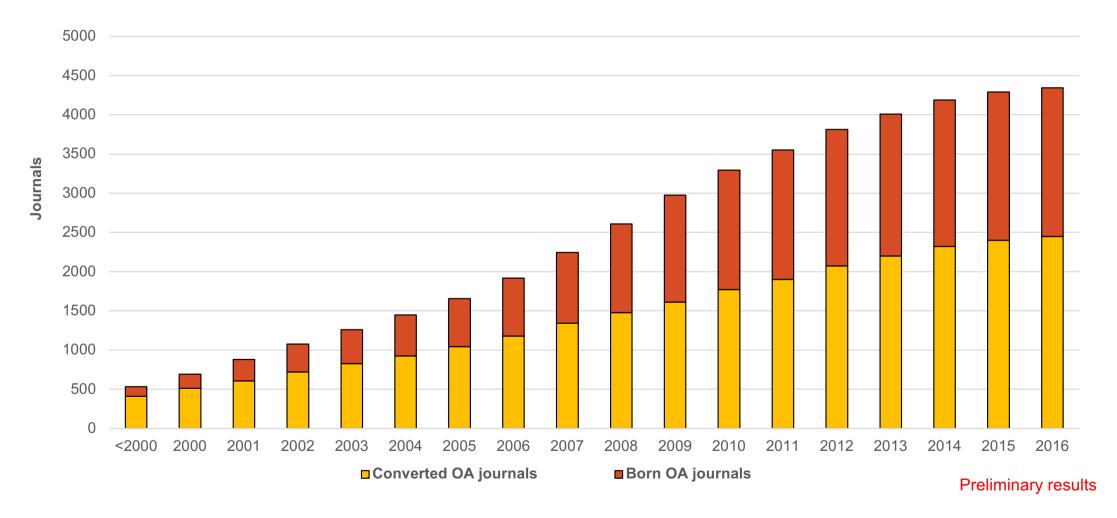
Open access article growth in Scopus





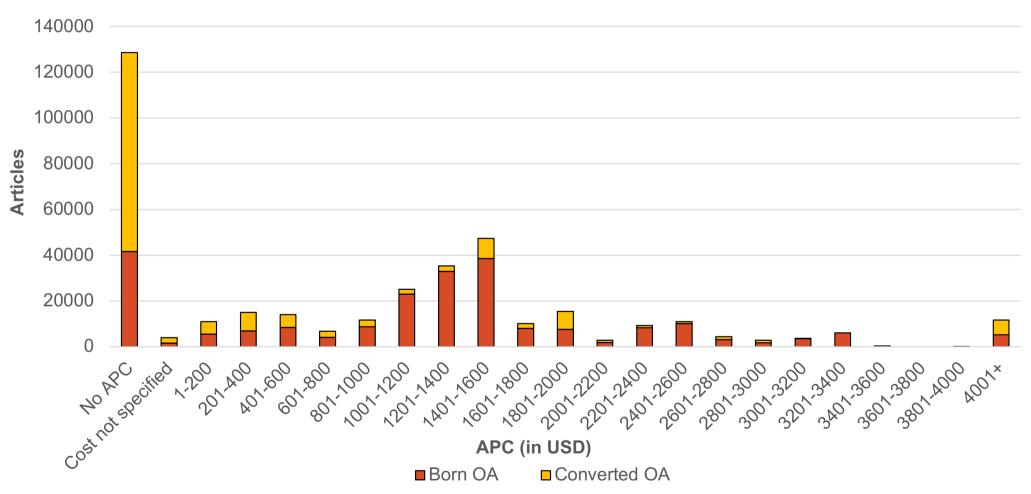
Is the journal landscape shifting or is it just growing? (Scopus OA journals)





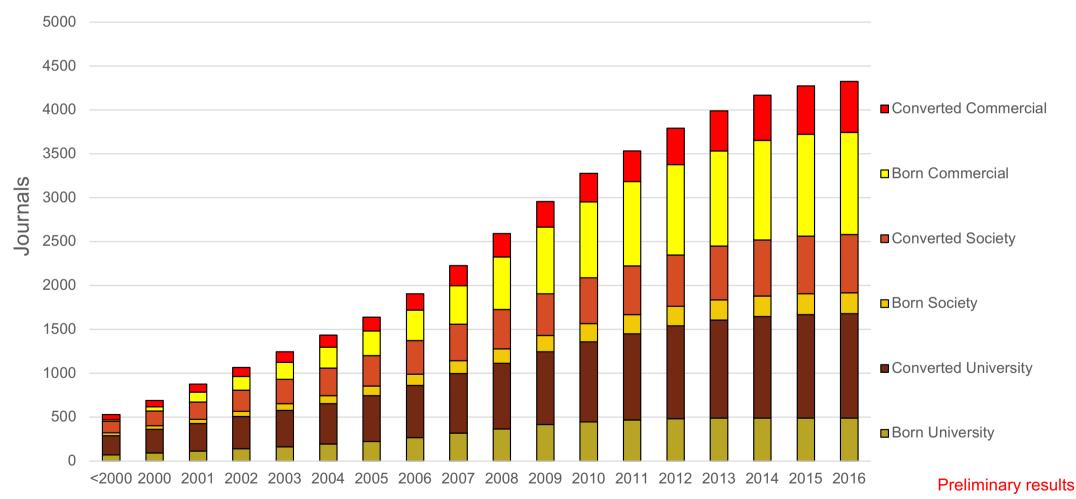
APC levels of OA journals in Scopus





Journal number growth per publisher type (Scopus OA journals)







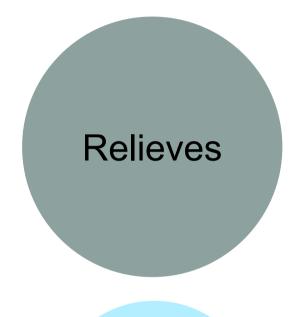
Market control is not on the buyer side



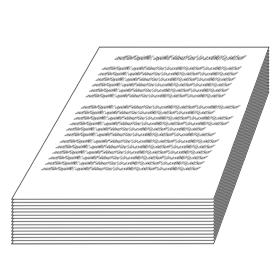
- » Still mostly non-transparent pricing and contract terms.
- » Each journal (and thus publisher) essentially a monopoly.
- » Pricing extrapolated from historical spending.
- » De-synced international negotiation schedules.
- » Content supply disconnected from purchasing decision.
- » Publication outlet rank deeply entangeled in academic merit systems.
- » Decoupled buyer and primary end-customer.
- **»**

One finite pile of **manuscripts**, several monopolies competing for shares of it





Lay Web Lick Well



Andra Florans City

Reaping Returns Ages

One finite pile of **money**, several monopolies competing for shares of it





Lay Web Lick Well



Andra Florans City

Ages

Reaping Returns

We can't change the past but we can immediately start changing the future

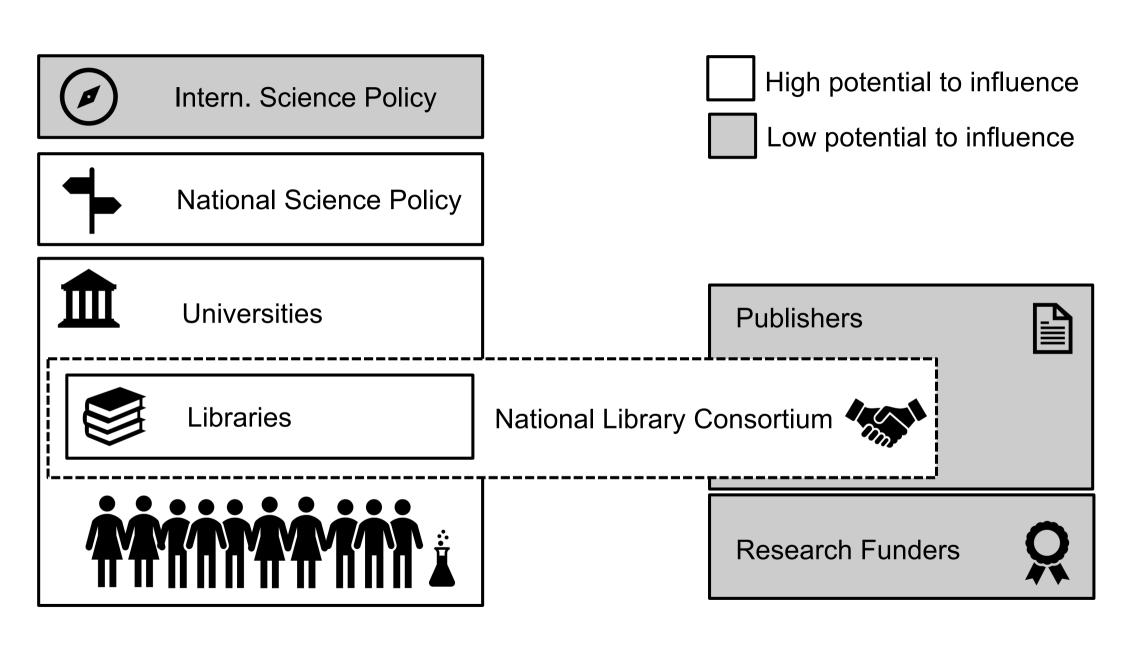


- » Though an increasing share of research is available open access in some form, comprehensive access to old content is currently not a legal reality.
- » Optimal if such long-term access clauses are already present in existing subscription agreements.
- » But even if not, it is important to work out alternative access routes to content published previously.

What it boils down to



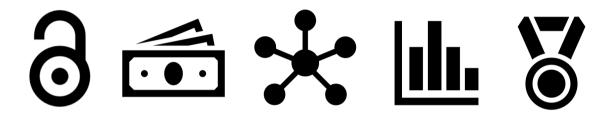
Only pay to support publication and publication infrastructures, service providers will then have to compete on a transparent playing field.





Five essential steps for transition





- 1. Open access made a common priority
- 2. Aligning financial decisions with policy decisions
- 3. Commitment, collaboration, and communication
- 4. Monitoring and analysis
- 5. Alignment of reward systems

Open access made a common priority



» The mix between top-down policy and bottom-up demand for change needs to be aligned.



- » It can not be the libraries taking on the task alone, needs to be supported on the university-level.
- » The result of negotiations should not dictate the direction and aggressiveness of science policy ad-hoc, key criteria should be decided beforehand with as high mandate as possible.

Aligning financial decisions with policy decisions



» Science Policy Decisions

- » Long term
- » Environmental/Situational factors unknown
- » Motivated by values and ideology
- » Flexible and evolving

» Business Decisions

- » Short(er) term
- » Environmental/Situational factors known, limited set of options
- » Motivated by economical use of resources to support science policy
- » Inflexible once made



Aligning financial decisions with policy decisions



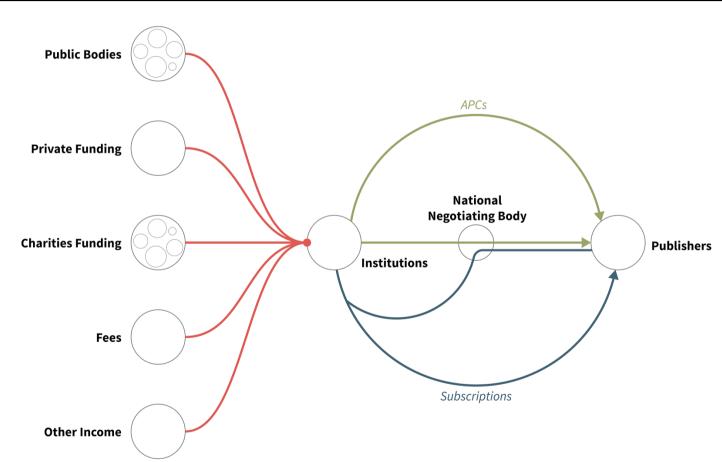


» The only leverage customers have is to decline signing unfavourable agreements. Half-solutions should not be considered.

» To align financial and policy decisions a holistic picture of the financial infrastructure is needed, what are all the financial inputs that publishers currently get?

Model of Financial Flows in Scholarly Publishing



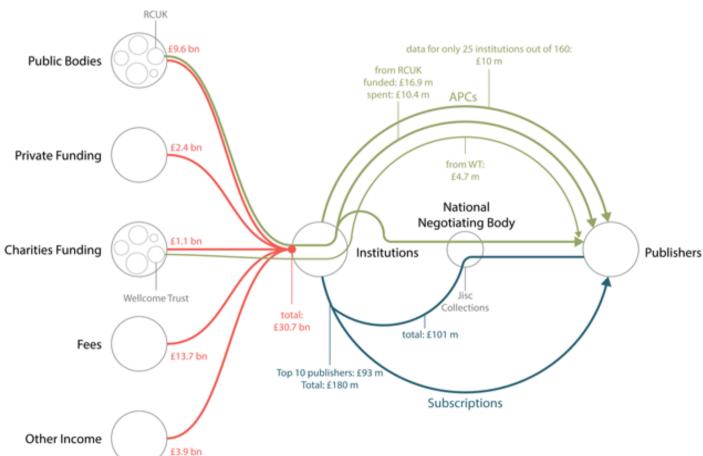




Lawson, Gray, & Mauri (2016)

Applied to the United Kingdom







Lawson, Gray, & Mauri (2016)

Consortias are good for alignment. The larger, yet unified in goals, the better











Projekt DEAL

Bundesweite Lizenzierung von Angeboten großer Wissenschaftsverlage

There is potential to further increase international collaboration





Offsetting should not be the only strategy



» Only investing heavily into offsetting agreements with major publishers is not the optimal solution for diversifying the scholarly communication landscape and reducing the pricing power of publishers.



- » List prices for APCs and hybrid fees have had a tendency to increase rather than decrease
- » Publishers create new OA journals instead of converting old subscription ones

» Drive for systemic change of the "old", but also support new complementary and substitute alternatives.

Models without APCs









Knowledge Unlatched





Monitoring and analysis



» This is a fairly new area of expertise that blends bibliometrics, accounting, and science policy.



» For supporting publisher negotiations

- » How important is a specific publisher for your institution/consortium?
- » How expensive is the publisher relative to other publishers?
- » What is the relevance of the publishers hybrid OA options vs their full open access journals?

» For managing allocation of APC funds

- » Proper sizing of an APC fund
- » Proper price-capping of APC fund

Should APC funds be used?



- » APC-funds have been found to have two effects
 - » Replacement effect
 - » Stimulating effect
- » Most APC-funds in continental Europe fund only articles in OA journals and exclude hybrid OA.
- » Many APC-funds are managed by the libraries of research organisations but funded (partly or entirely) by research funders via so-called block grants.
- » OA factors have an influence on journal selection



http://repository.jisc.ac.uk/6665/1/ Financial_and_administrative_iss ues_around_APCs_for_OA_June 2017 KE.pdf

Costs transparency is good, but is not an automatic enabler of change







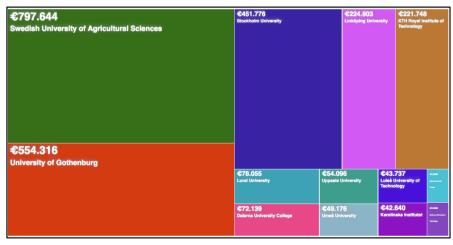




https://openscience.fi/-/transparency-and-openness-to-scientific-publishing-the-finnish-research-organisations-pay-millions-of-euros-annually-to-the-large-publishers

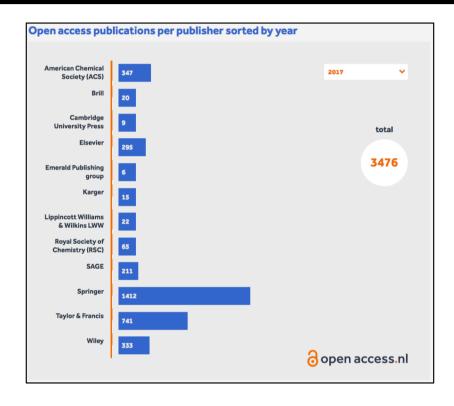


https://treemaps.intactproject.org/apcdata/openapc/#institution/
country=SWE



Meticulous monitoring and analysis is needed





Summary of the evaluation of offsetting agreements in Sweden - report 2: Springer Compact and Institute of **Physics**

This document is a summary of the second report of five on the evaluation of offsetting agreements in Sweden (2016-2019). The Bibsam consortium has signed offsetting agreements with publishers in order to support a transition to Open Access publishing in participating institutions, at controlled costs. The evaluation is based on publishers' agreements, publication data and survey data to examine the effects of offsetting agreements regarding economy, administration, researcher attitudes and research dissemination. The evaluation is conducted on behalf of the Bibsam consortium.

- 1. A pure Offset agreement means that an institution reduces its license/subscription costs with a publisher based on the article processing charges the researchers from the institution paid for publishing Open Access during the previous year
- 2. A second kind of offset model is the Read & Publish. In these gareements one publishing charge and one reading charge is poid.

 3. The third kind is the Pay-as-you-publish model which means that the costs for article processing charges
- is centralized and the institutions in the agreement does not have to pay a fixed amount in advance for a specific number of publications. This model does not include reading costs.

Springer Compact is an offsetting agreement of type 2 above, between Springer Nature and 40 Swedish institutions, negotiated through the Bibsam consortium, supported by the Swedish Research Council and the Swedish National Library. The purpose of the agreement is to increase accessibility of scientific articles from the institutions in the gareement published with Springer Nature and to control expenditure by combining subscription and publishing fees2. The agreement runs from July 2016 to December 2017. In 2016 the Bibsam consortium signed another offsetting agreement, with the publisher Institute of Physics³. This is an agreement of type 1 and runs from January 2017 to December 2019 and was added to the evaluation in the spring of 2017. Springer Compact publication data in this document includes publications from July 2016 to June 2017. Publication data from Institute of Physics will be available for analysis in 2018, in report 3.

Springer Compact

The agreement covers

- . Open Access publishing in any of Springer's 1705 hybrid journals
- Reading of the approximately 2110 e-journals available on the SpringerLink platform (1997-).

The first year of the agreement (July 2016 - June 2017) resulted in 1 232 Open Access publications in hybrid journals. Without Springer Compact, the participating institutions were expected to publish between 220 and 230 Open Access publications in hybrid journals during that same time span.

The participating institutions in Springer Compact have published about 20 percent less per month than the agreement allows for, which suggests more article types than Original papers, Review papers, Brief communications and Continuing education ⁴ could be included for the remainder of the agreement. The projected

¹ Link to the report: http://openaccess.blogg.kb.se/files/2017/09/Utvärdering-av-offset-avtal-SC-och-IOP-delrapport-2.pdf

2 Publisher information on the Springer Compact agreement: https://www.springer.com/gp/open-access/springer-open-

choice/springer-compact/agreements-swedish-authors (2017-01-10).

Publisher information on the institute of Physics agreement: http://www.iop.org/news/14/may/page 63308.html (2017-

The article types not included today are: Abstract, Acknowledgment, Announcement, BookReview, EditorialNote, Erratum interview, Letter, News, and Report. The limited number of publications allowed within Springer Compact will unlikely be exceeded even if all article types are included.



Report on offset agreements: evaluating current Jisc Collections deals

Year 1 – evaluating 2015 deals

Stuart Lawson

Published 24 October 2016

This work has been sponsored by Jisc as part of the Jisc Collections Studentship Award at Birkbeck, University of London.



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Use the public deal terms of others to your advantage



Elsevier	2016-2018	Finalised licence	 All accepted articles by corresponding authors of Dutch universities in the selected 276 journals by Elsevier are eligible for open access publication without extra cost. This is 20% of the licensed journal package. In 2018 this percentage will be raised to 30%. 	More info screenshots of the workflow
Emerald Publishing group	2016-2018	Finalised licence	 Emerald will issue 30 open access vouchers to authors at Dutch universities in 2017 and in 2018: 45 vouchers. These vouchers can be used for all periodicals issued by Emerald and can be requested via the open access contact person at the library of the respective institute before the acceptance of the article. The contact person will then submit a request to Emeralds accountmanager Sonja Spretis. the Emerald open access workflow visually presented Emerald shows the open access message in Publishing services. 	Emerald open access partnership page
Karger	2016-2017	Finalised licence	 Nine university libraries have an agreement with Karger. Researchers affiliated with those institutions may publish at no additional cost in all Karger journals as corresponding author. Verification must be done by the participating institutions within three days after Kargers sends them a mail. Authors automatically give a CC-NC-ND 4.0.license. 	See Kargers website and select Netherlands in the pulldown menu to see which universities are involved.



http://www.openaccess.nl/en/in-the-netherlands/publisher-deals http://finelib.fi/negotiations/negotiations/

Commitment, collaboration, and communication



» Use public relations to your advantage, so do publishers.



» We have collectively dug a very deep hole which is impossible for any single actor to take themselves out of independently.





On the internet, no good deeds for open science go unnoticed





Sweden Cancels Agreement With Elsevier Over Open Access

The Scientist - 16 May 2018

A consortium of institutions will not renew its contract with the publisher that ends in June, following the lead of organizations in other countries.



French Universities Cancel Subscriptions to Springer Journals

The Scientist - 31 Mar 2018

Negotiations between the publisher and a national consortium of academic institutions have reached a stalemate. By Diana Kwon \mid March 31, ...





Sweden cancels Elsevier contract as open-access dispute spreads Times Higher Education (THE) - 16 May 2018

Swedish universities have moved to cancel their contract with journal publisher Elsevier as concern over slow progress towards open access ...



Europe's open-access drive escalates as university stand-offs spread Nature.com - 17 May 2018

On 16 May, a **Swedish** consortium became the latest to say that it wouldn't renew its contract, with publishing giant **Elsevier**. Under the new ...



Will other countries follow Germany into battle with Elsevier?

Times Higher Education (THE) - 31 Jan 2018

Bizarrely, **German** institutions have protested to the publisher about not being cut off. "Since **Elsevier** did not explain the legal or financial ...



News at a glance

Science Magazine - 24 May 2018

Swedish universities and research institutes have canceled their contract with academic publishing giant Elsevier after failing to reach an ...



Germany vs Elsevier: universities win temporary journal access after ...

Nature.com - 4 Jan 2018

The Dutch publishing giant **Elsevier** has granted uninterrupted access to its paywalled journals for researchers at around 200 **German** ...

Elsevier maintains German access despite failure to strike deal Times Higher Education (THE) - 4 Jan 2018

View all



'Big Deal' Cancellations Gain Momentum

Inside Higher Ed - 7 May 2018

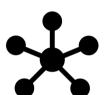
Will more and more libraries **cancel** their big deals until publishers finally ... cancellations with big publishers such as **Springer** Nature, Wiley, ...

Need for collective action – nationally and internationally



» The Dilemma of Collective Action (Wenzler 2017)

"For academic libraries to continue to achieve their traditional role of storing, organizing, preserving, and providing access to the scholarly record, they increasingly will have to take responsibility for the entire cycle of scholarly communication from publishing and editing through preservation, but it is unlikely that they will succeed in doing so through the uncoordinated actions of individual institutions and will require new experiments in cooperation and coordination."



» The 2.5% Commitment (Lewis 2017)

- » "...every academic library should commit to contribute 2.5% of its total budget to support the common infrastructure needed to create the open scholarly commons."
- » "...if we don't collectively invest in the infrastructure we need for the open scholarly commons, it will not get built or it will only be haphazardly half built. "

Alignment of reward systems



» Without diversifying academic evaluation and merit systems change will be needlessly hard.



» It does not look likely that major publishers will initiate widescale "flipping" of journals to open access, even in cases where hybrid OA uptake is rising.





A European open science label for complying universities?



Towards the Ninth European Framework Programme for Research and Innovation

Position Paper from the Norwegian Universities



Further, we support the idea of a European university label for institutions that actively and successfully promote open science, open innovation and openness to the world. Institutions acquiring the label must document open science skills for project leaders, offer training programs in open science, implement the DORA-principles, support open innovation through digital solutions and promote open science throughout the entire research cycle. These principles should also be fully adapted and implemented in the evaluation processes. The involvement of citizens in projects and stimulating public engagement should be an embedded part of research projects.

http://www.uio.no/om/aktuelt/rektorbloggen/2018/position_paper_from_the_norwegian_universities_web.pdf



A cultural change is needed





PUSHING THE FRONTIERS OF INNOVATIVE RESEARCH ADVICE PAPER No.24 - MAY 2018



Open Science and its role in universities:

A roadmap for cultural change

LEAGUE OF EUROPEAN RESEARCH UNIVERSITIES

University of Amsterdam + Universitat de Barcolona + University of Cambridge + University of Copenhagen • Trinity College Dublin + University of Edinburgh + University of Freiburg + University de Genéve - University Holderdey - University of Helsini + University of University - University - University - University College London + Lund University - University of Milan + Ludwig-Maximilians-Universitit Milanden + University of Carbon + Sondone University + University - Paris-Sud + University of Standoury + University + University of Zarish Section II identifies real challenges in universities embracing Open Science principles and values. How willing are individual researchers to move from traditional models and practices to new systems and values which are to a large extent untried and untested over time? Consider the theme of scholarly publishing. To what extent will writers of research monographs accept Open Access to such products as the future publication model? Do individual journal titles have a future, or are research platforms such as Wellcome Open Research² the future of scholarly publishing in those disciplines where the article is the main form of research output? How should such outputs be evaluated? Do traditional metrics work in an open environment? Are open approaches recognised in in evaluation systems, such as academic promotion? How is the cost of doing Open Science calculated and who pays for what? These are all questions which any move to an Open Science system and values poses.

https://www.leru.org/publications/open-science-and-its-role-in-universities-a-roadmap-for-cultural-change

Spread of preprint practice to more disciplines would be one step towards lessened reliance on journals



Are preprints the future of biology? A survival guide for scientists



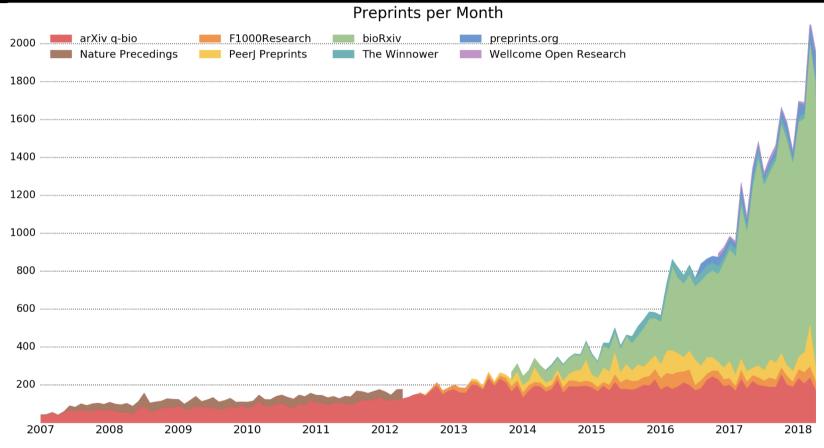
By Jocelyn Kaiser | Sep. 29, 2017, 9:00 AM

http://www.sciencemag.org/news/2017/09/are-preprints-future-biology-survival-guide-scientists#Why-now

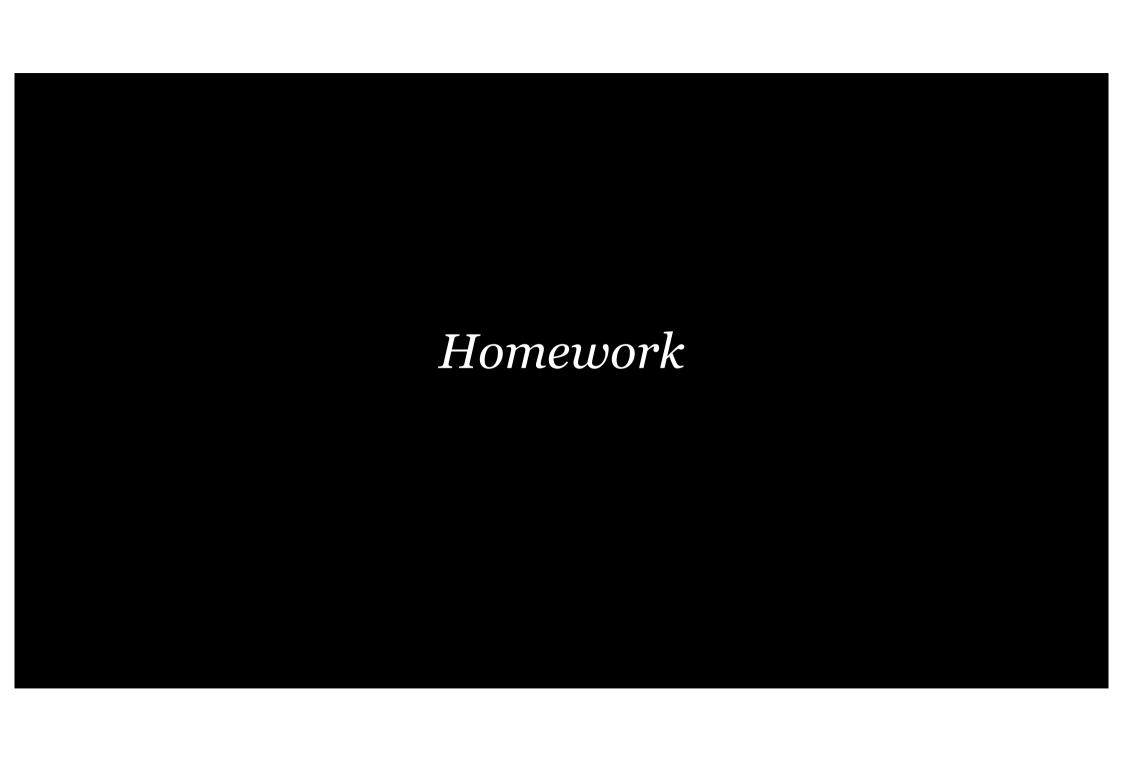


It is possible to influence behaviour through science policy







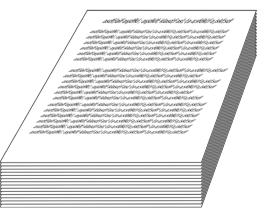


Think & ponder



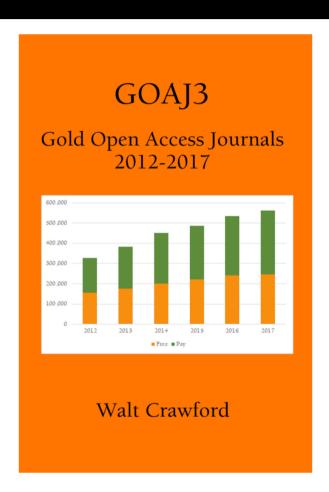
- » Considering the perspective of national-level expenditure and national research output, what is the most sensible way to support cost-efficient use of resources and optimal dissemination of outputs?
 - » Right now
 - » In ten years time





Reading





- » Free e-book by Walt Crawford
- » Released 29th of May 2018
- » 187 pages of bibliometric & economic analysis of all journals in the DOAJ
- » Open dataset

https://walt.lishost.org/2018/05/goaj3-gold-open-access-journals-2012-2017/

Key takeaways



- » The transition to open access calls for brave steps forward, not moving sideways and thus prolonging this unfavorable state of transition.
- » A holistic picture of the financial infrastructure is needed. Centralised use of funding and negotiation with service providers.
- » Co-ordination is needed to make change happen, funders, universities and national consortia should collaborate to push towards the common goal of open access.
- » Drive for systematic change, which includes support for complementary and substitute alternatives to established outlets.



Key references



Lewis, DW (2017), "The 2.5% Commitment," September 11, 2017. http://hdl.handle.net/1805/14063

Wenzler, J. (2017). Scholarly Communication and the Dilemma of Collective Action: Why Academic Journals Cost Too Much. *College & Research Libraries*, 78(2), 183–200. http://doi.org/10.5860/crl.78.2.183