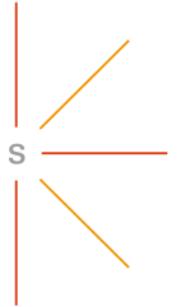




o p e n a c c e s s
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Open Access 2020: accelerating the transition to open access

Open Access Ambassadors 2nd Conference and Workshop

10-11 December 2019 – Harnack House, Berlin

Colleen Campbell

Open Access 2020 Initiative | Max Planck Digital Library



@oa2020ini

To start, food for thought

”

Poverty is created by **barriers**.

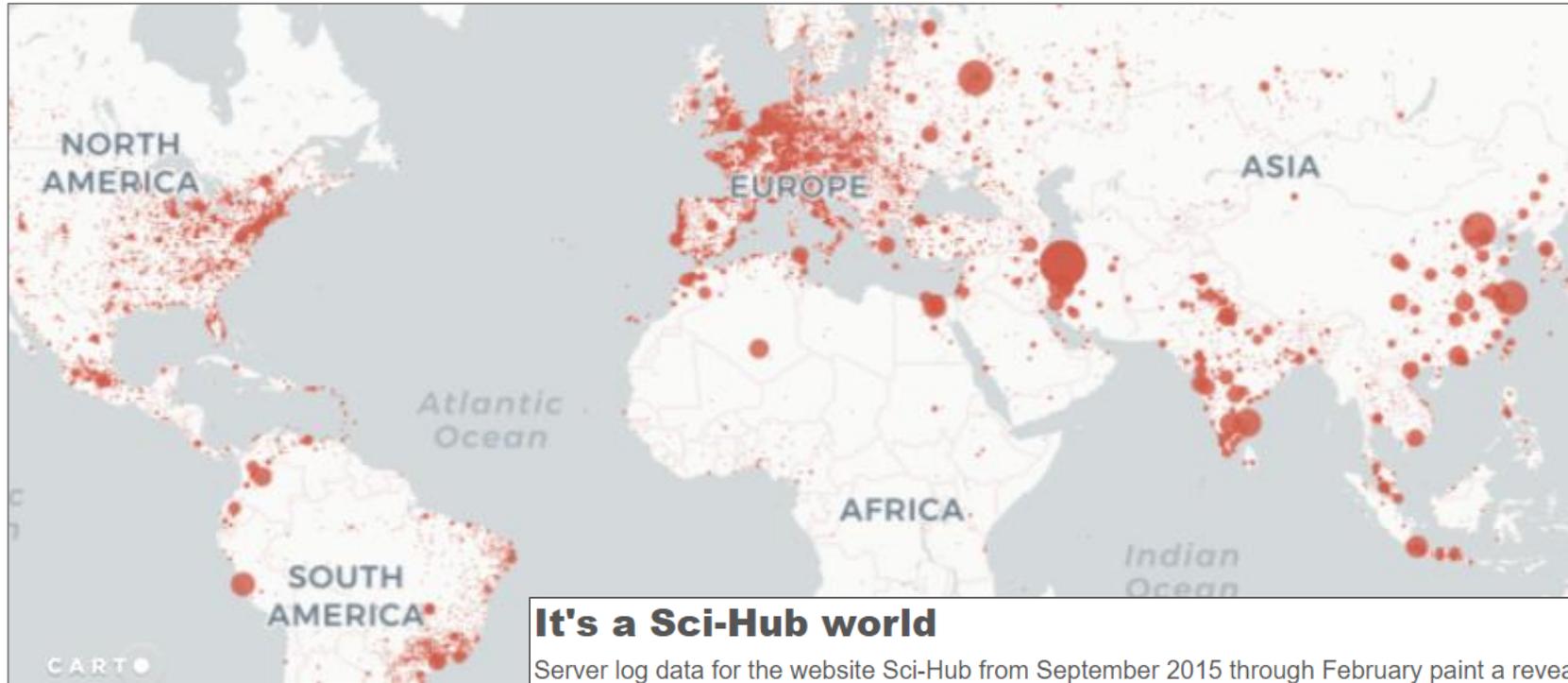
To fight poverty, we have to see and study the barriers, and then **go around them** or **through them** so the poor aren't cut off from benefits others enjoy.

Melinda Gates



What's the problem?

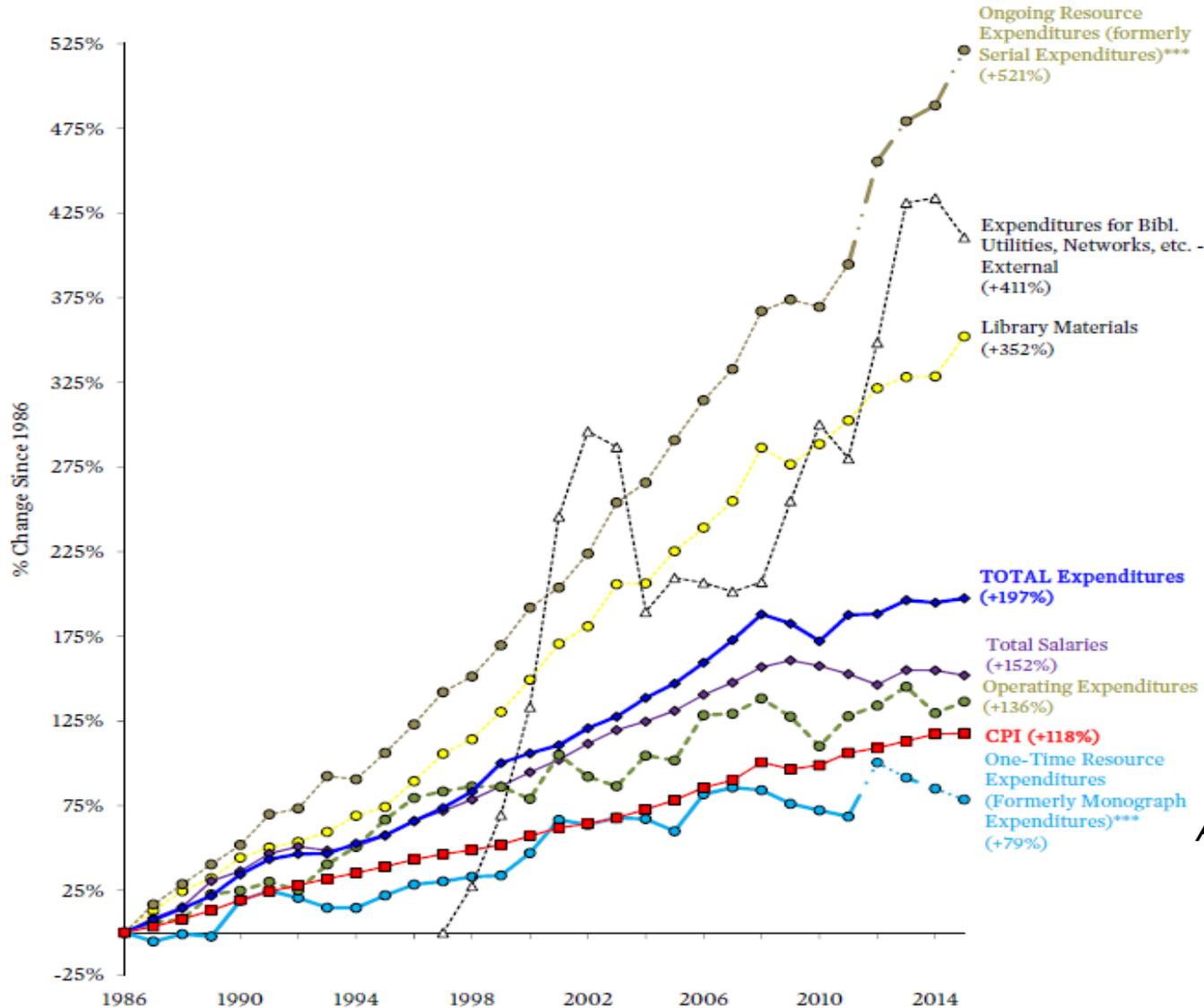
Expectations of scholars, scientists and citizens in our digital era.



It's a Sci-Hub world

Server log data for the website Sci-Hub from September 2015 through February paint a revealing portrait of its users and their diverse interests. Sci-Hub had 28 million download requests, from all regions of the world and covering most scientific disciplines.

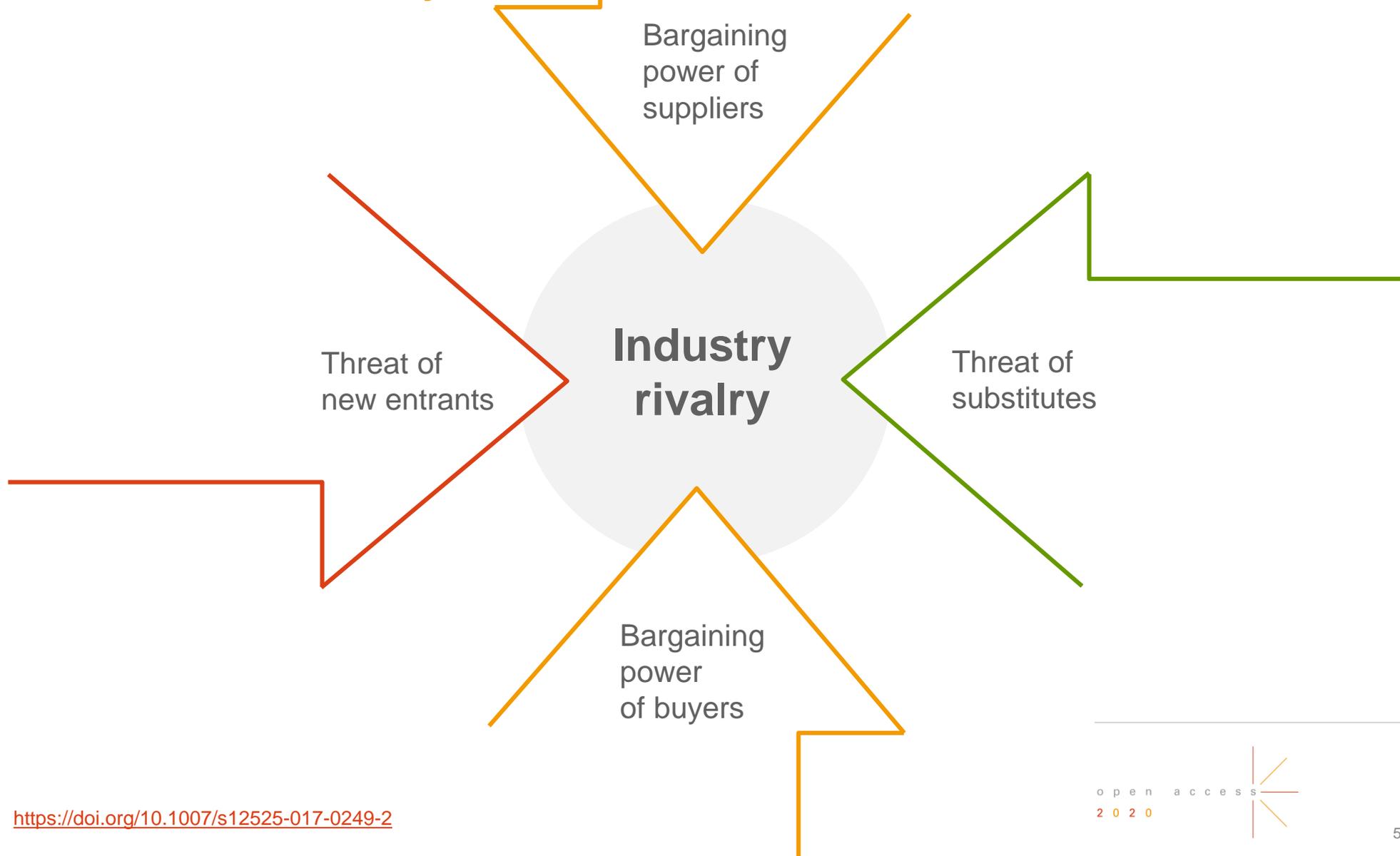
Increases in subscription costs have far outpaced even standard inflation.



ARL Statistics 2014-15

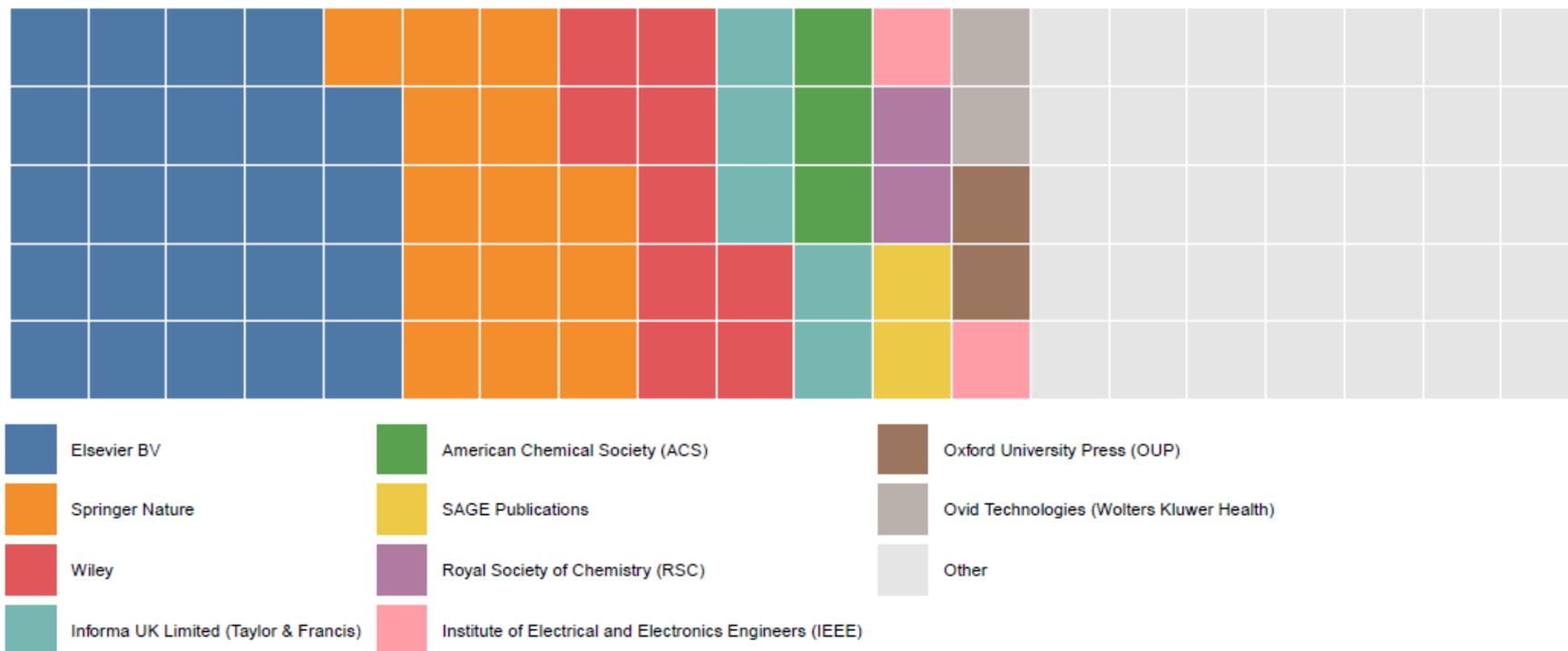


Publishers have no incentive to change this highly lucrative system.



Still today, 82% of new research is published behind subscription paywalls. Of that, 72% by just 10 publishers.

Global Publisher Market Share indexed in the Web of Science between 2014–18



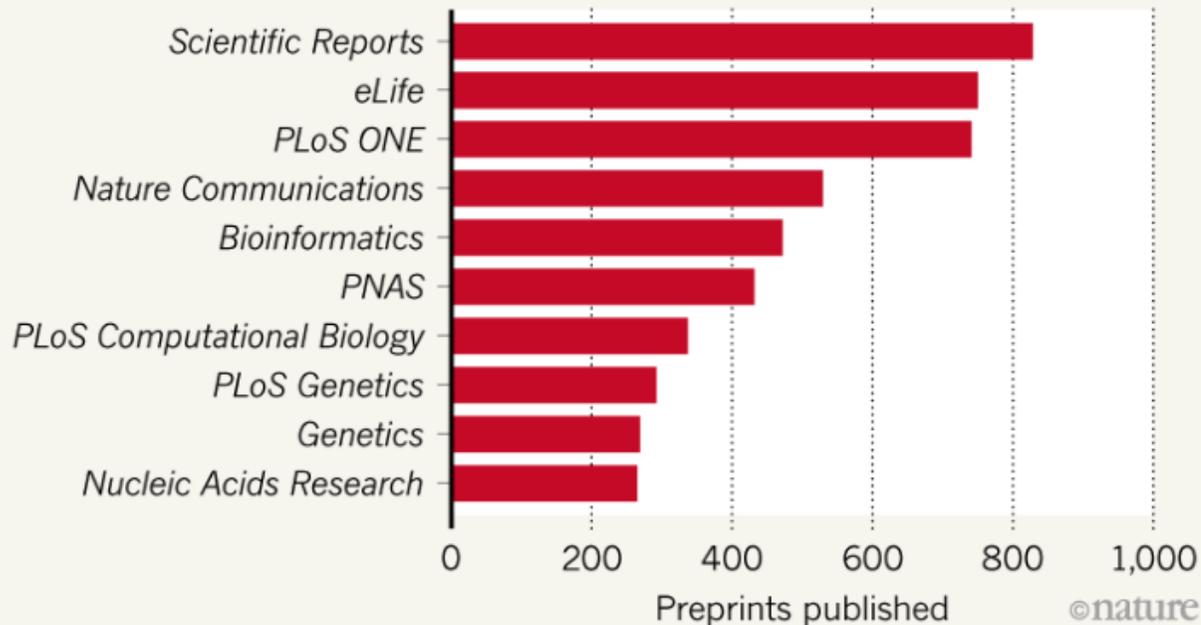
There is no social justice in the opaque pricing of subscriptions.

	Subscription expenditure with one large publisher (USD)	Percentage of education budget spent on the subscription	World Bank Classifications
African country A	11.000.000	0,039%	Upper Middle Income
Latin American country	26.400.000	0,038%	Upper Middle Income
European country	60.500.000	0,032%	High Income
African country B	848.777	0,023%	Low Income
African country C	378.400	0,015%	Lower Middle Income
African country D	3.300	0,001%	Low Income

Researchers still want their journals. At least for now....

PREPRINTS' FINAL DESTINATIONS

Some 42% of all preprints on bioRxiv have also been published in a peer-reviewed journal. Here are the top ten journals that publish those preprints.



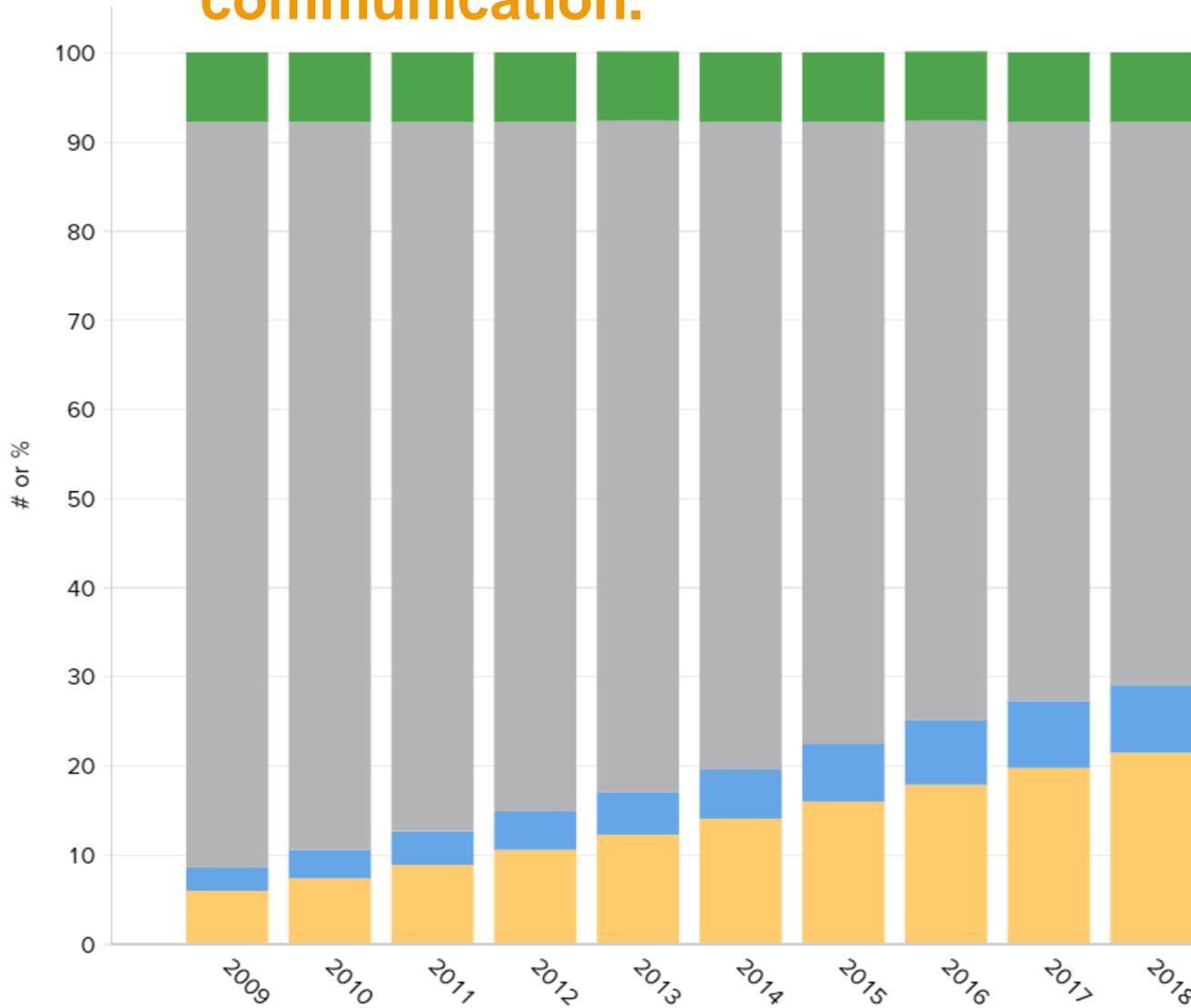
Source: R. J. Abdill & R. Blehman Preprint at bioRxiv <https://doi.org/10.1101/515643> (2019).

_____ Researchers still want their journals. At least for now....

“...enabling the broadest possible readership is an important way to maximize the impact of their research findings. 64% of respondents indicated they would be **happy to see the traditional subscription-based publication model replaced entirely by an open access system....**

Some 70% of faculty stated “If the traditional subscription-based publication model is replaced entirely by an open access model, I would be happy to see the same publishers stay involved in the open access model”

It will take decades at the current growth rates for Open Access to become the default in scholarly communication.



“Open Access still represents a minority of the annual scholarly output, and it will take decades at the current growth rates for OA to take over (to reach, say 80%+ of share).”

<https://open-access.deltathink.com/Market-Sizing.html>



What can we do about it?

Use our leverage as funders.

“**cOAlition S** strongly encourages institutions and consortia to develop new transformative agreements and will only financially support agreements after 1 of January 2021 where they adhere to the ESAC Guidelines.”

There are three routes for being compliant with Plan S:

	Open Access publishing venues (journals or platforms)	Subscription venues (repository route)	Transition of subscription venues (transformative arrangements)
Route	Authors publish in an Open Access journal or on an Open Access platform.	Authors publish in a subscription journal and make either the final published version (Version of Record (VoR)) or the Author's Accepted Manuscript (AAM) openly available in a repository.	Authors publish Open Access in a subscription journal under a transformative arrangement.
Funding	cOAlition S funders will financially support publication fees.	cOAlition S funders will not financially support 'hybrid' Open Access publication fees in subscription venues.	cOAlition S funders can contribute financially to Open Access publishing under transformative arrangements.

Use our leverage as researchers.

📅 January 14th, 2019

Resignation of the editorial board of the Journal of Informetrics

Over the last few years, the editorial board of the Journal of Informetrics (JOI) has grown increasingly dissatisfied with Elsevier's actions and policies. While some of those have specific effects on our field—such as Elsevier's refusal to participate in the Initiative for Open Citation (I4OC)—others are affecting all fields of science—such as its restrictive open access policies and prohibitive subscription costs. The editorial board of JOI expressed these concerns to Elsevier on numerous occasions, with no success. Given the inability of Elsevier to address these issues, the editorial board unanimous resigned on January 10th 2019. As of January 12th 2019, names of associate editors and editorial board members have been removed from the website of the Journal of Informetrics.

The resignation letter can be found [here](#).

Journals should serve the research community—not the other way around. They provide an exchange forum which can only prosper through the work of authors, reviewers, and editors. Therefore, the former editorial board of the Journal of Informetrics unanimously decided to redirect its labor to a newly created journal, Quantitative Science Studies (QSS), published by MIT Press and owned by the International Society for Scientometrics and Informetrics. I invite all of you to join us in this new endeavor and help us demonstrate how the research community can take control back of its means for disseminating knowledge, in a fair, open, and transparent way. We must all work together in making QSS a success, not only for the field of scientometrics and informetrics, but for science as a whole.

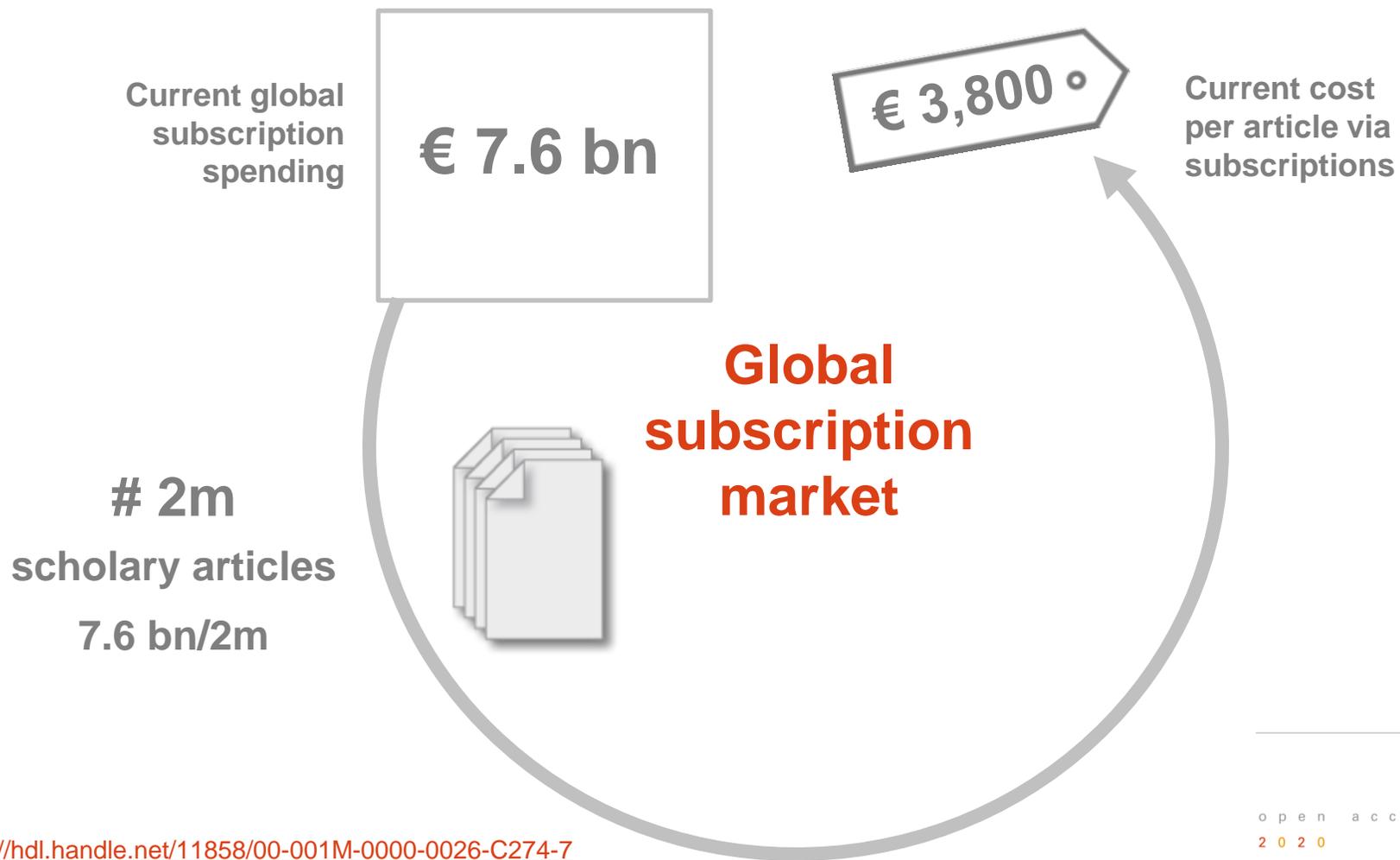
Vincent Larivière

Former Associate Editor, Journal of Informetrics

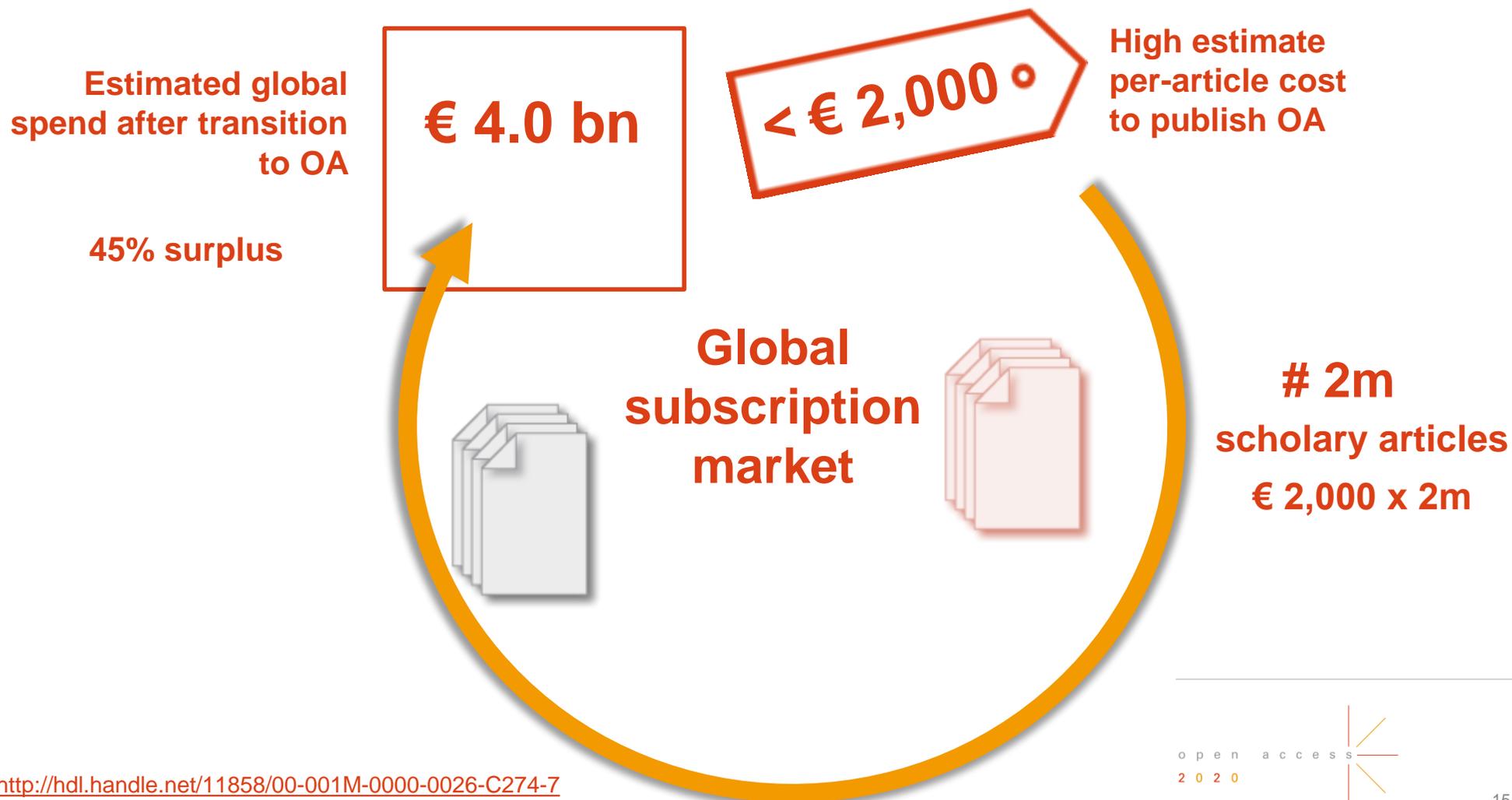
Interim Editor-in-Chief, Quantitative Science Studies



Use our leverage as institutions.



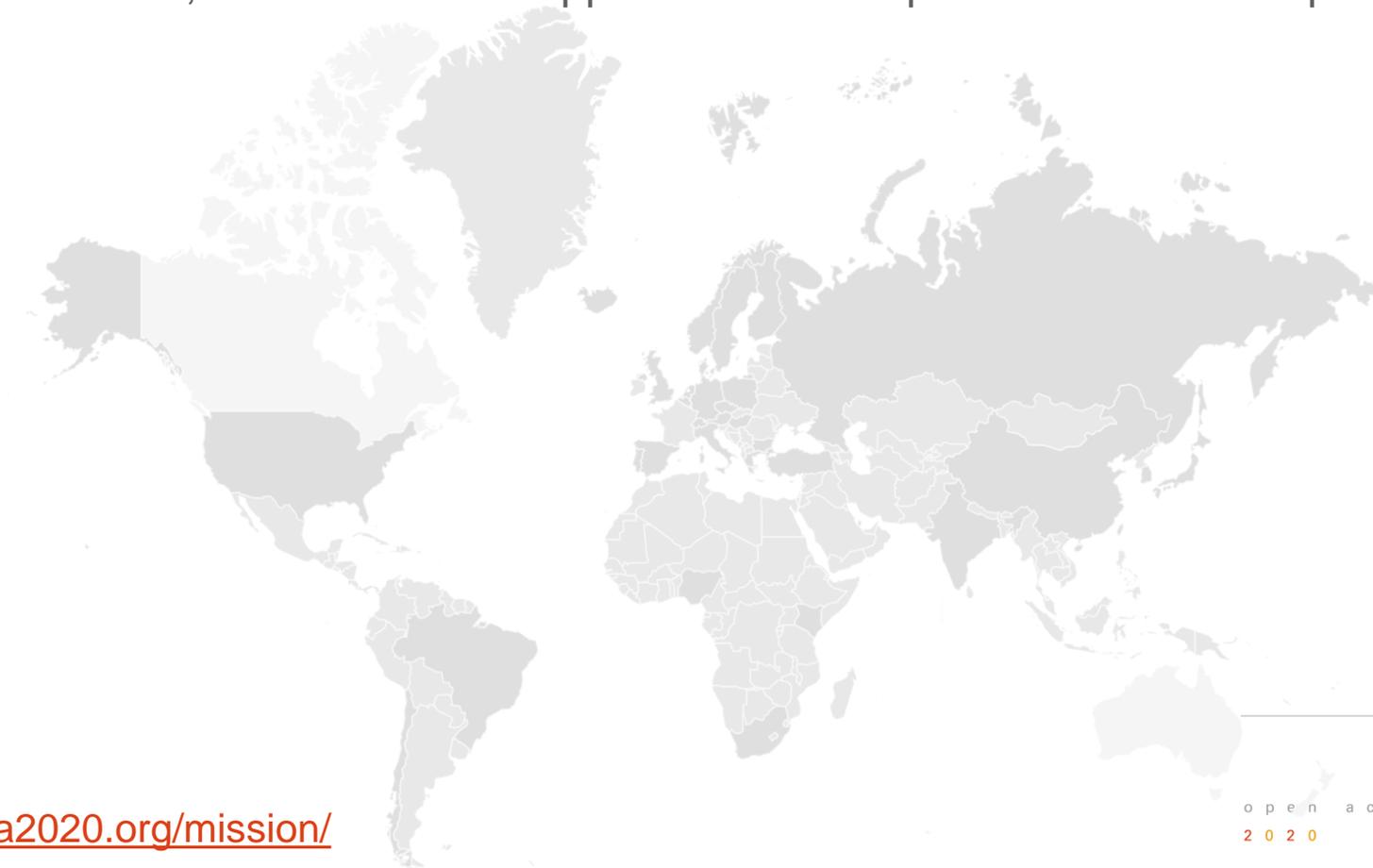
_____ OA publishing is possible within the current spend.



Open Access 2020: a global alliance to face publishers at eye level

We aim to transform a majority of today's scholarly journals from subscription to OA publishing in accordance with community-specific publication preferences.

At the same time, we continue to support new and improved forms of OA publishing.

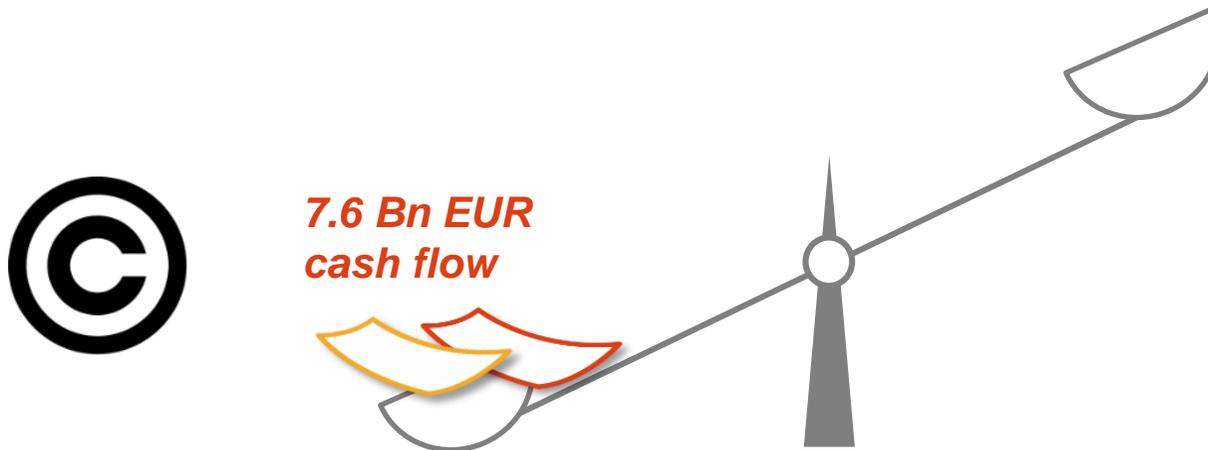


Open Access 2020: a global alliance to face publishers at eye level

We will pursue this transformation process by **converting resources currently spent on journal subscriptions into funds to support sustainable OA business models**. Accordingly, we intend to re-organize the underlying cash flows, to establish transparency with regard to costs and potential savings, and to adopt mechanisms to avoid undue publication barriers.

Subscription system

Open Access

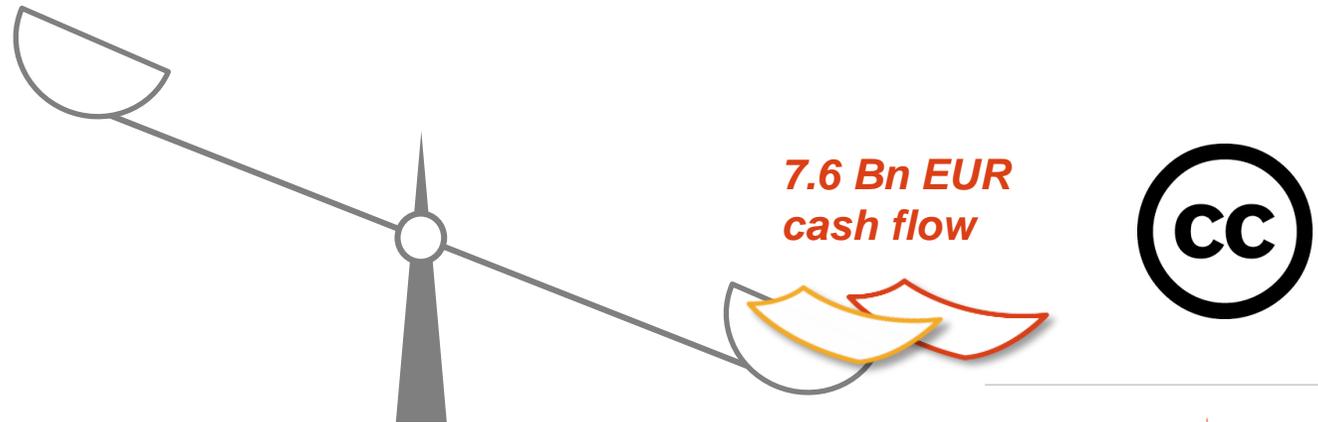


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Subscription system

Open Access



———— One of several pathways pursued by OA2020 participants is to **negotiate transformative agreements** under which the funds previously spent for subscriptions are repurposed to cover the costs associated with open access publishing.

———— This approach enables a **swift and efficient transition** of subscription journal portfolios to open access, in which ‘hybrid’ publishing massively **increases the proportion of articles published open access—***without paying twice* for services relating to the same piece of content.

Global consensus for transformative agreements



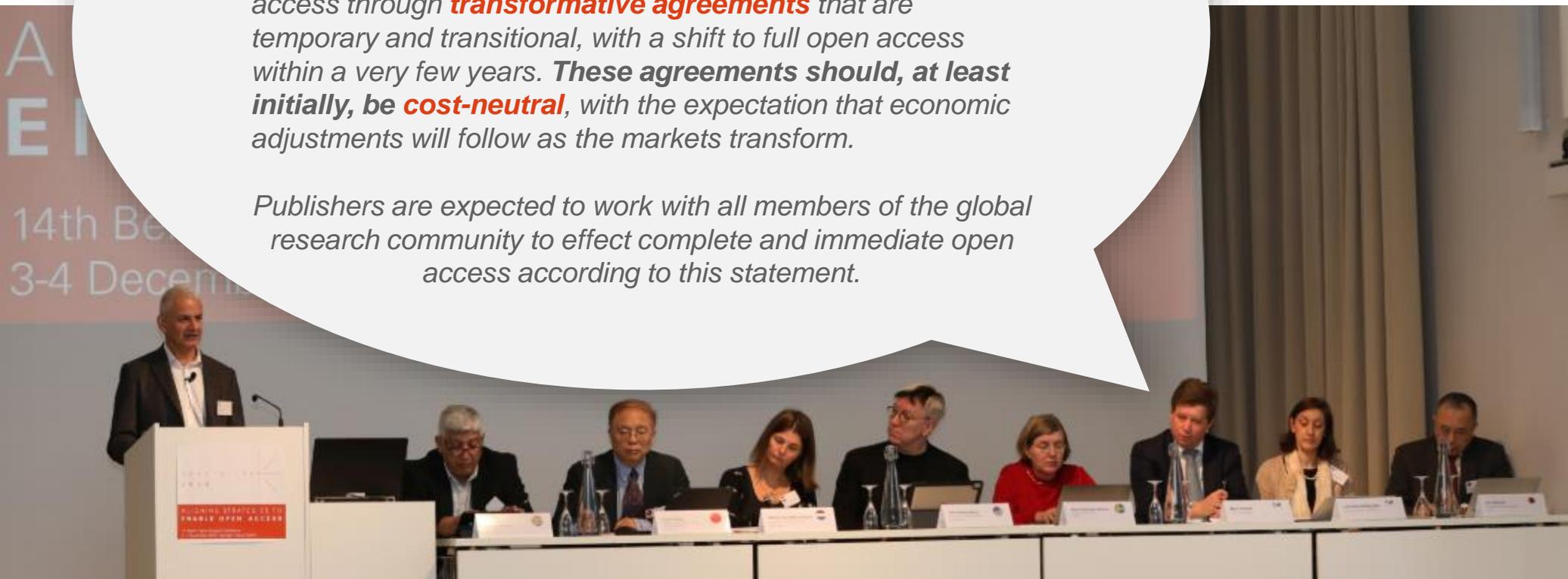
<https://oa2020.org/b14-conference/final-statement/>

Global Transformative agreements

FINAL STATEMENT 14th Berlin Open Access Conference

*We are all committed to authors retaining their copyrights,
We are all committed to complete and immediate open access,
We are all committed to accelerating the progress of open access through **transformative agreements** that are temporary and transitional, with a shift to full open access within a very few years. **These agreements should, at least initially, be cost-neutral**, with the expectation that economic adjustments will follow as the markets transform.*

Publishers are expected to work with all members of the global research community to effect complete and immediate open access according to this statement.



Temporary and transitional



MIT and Royal Society of Chemistry Sign First North American “Read and Publish” Agreement for Scholarly Articles

*Publisher represents that the Read & Publish model, with its foundation in “hybrid” open access – where some articles are paywalled and others published open access – **is a temporary and transitional business model whose aim is to provide a mechanism to shift over time to full open access.***

The Publisher commits to informing Customer of progress towards this longer-term aim on an annual basis, and to adjusting Read & Publish terms based on its progress towards full open access.

Authors retain rights to their works

UNIVERSITY OF CALIFORNIA
BERKELEY • DAVIS • IRVINE • LOS ANGELES • MERCED • RIVERSIDE • SAN DIEGO • SAN FRANCISCO
UNIVERSITY COMMITTEE ON LIBRARY AND SCHOLARLY COMMUNICATION
Assembly of the Academic Senate, University of California



SANTA BARBARA • SANTA CRUZ
13 April 2018

DECLARATION OF RIGHTS AND PRINCIPLES TO TRANSFORM SCHOLARLY COMMUNICATION

To align our institutional policies and practices toward the goal of replacing subscription-based publishing with open access (OA), we propose that the University of California assert the following rights and principles when negotiating with publishers during journal license renewals:

- 1. No copyright transfers.** Our authors shall be allowed to retain copyright in their work and grant a Creative Commons Attribution license of their choosing.
- 2. No restrictions on preprints.** Our authors shall have the right to submit for publication work they have previously made available as preprints.
- 3. No waivers of OA Policy.** Publishers shall not require our authors to provide waivers of our Institutional OA Policy as a condition for publishing our work.
- 4. No delays to sharing.** Publishers shall make work by our authors immediately available for harvest or via automatic deposit into our Institutional OA repository or another public archive.
- 5. No limitations on author reuse.** Our authors shall have the right to reuse figures, tables, data, and text from their published work without permission or payment.
- 6. No impediments to rights reversion.** Publishers shall provide a simple process for our authors to regain copyright in their previously published work.
- 7. No curtailment of copyright exceptions.** Licenses shall not restrict, and should instead expressly protect, the rights of authors, institutions, and the public to reuse excerpts of published work consistent with legal exceptions and limitations on copyright such as fair use.
- 8. No barriers to data availability.** Our authors shall have the right to make all of their data, figures, and other supporting materials from their published work publicly available.
- 9. No constraints on content mining.** Publishers shall make licensed materials open, accessible, and machine-readable for text and data mining by our researchers, at no additional cost and under terms that allow retention and reuse of results.
- 10. No closed metadata.** Publishers shall make bibliographic records, usage metrics, and citation data for our authors freely available, easy to parse, and machine-readable.
- 11. No free labor.** Publishers shall provide our Institution with data on peer review and editorial contributions by our authors in support of journals, and such contributions shall be taken into account when determining the cost of our subscriptions or OA fees for our authors.
- 12. No long-term subscriptions.** Publishers shall provide our Institution with plans and timelines for transitioning their subscription journals to OA.
- 13. No permanent paywalls.** Our Institution shall receive perpetual access for previously licensed content and back files shall be made freely available once a journal transitions to OA.
- 14. No double payments.** Publishers shall provide our Institution with data on hybrid OA payments from our authors and such payments shall reduce the cost of our subscriptions.
- 15. No hidden profits.** Publishers shall use transparent pricing for the services they provide our authors when levying article processing charges and other fees associated with publishing.
- 16. No deals without OA offsets.** Our Institution shall only enter into publishing agreements that include offsets for OA publishing by our authors.
- 17. No new paywalls for our work.** Work by our authors shall be made OA on the publisher's website as part of subscription terms for new journals.
- 18. No non-disclosure agreements.** Publisher agreements with our Institution shall be transparent and shall not contain terms that prevent the sharing of their contents.

- 1. No copyright transfers.**
Our authors shall be allowed to retain copyright to their work and grant a Creative Commons Attribution license of their choosing.

https://libraries.universityofcalifornia.edu/groups/files/slasiac/docs/NegotiatingJournalAgreementsAtUC_ACallToAction_final.pdf

Agreements must be transparent

Principles for Advancing Openness through Journal Negotiations

1. PRIORITIZE OPENNESS

As part of a public land grant university with a mission to create and share knowledge to make Iowa and the world a better place, the University Library will prioritize agreements that advance open access and other methods of open dissemination for research outputs. Participating in a global movement advocating for open access, we work toward democratizing access to knowledge by reducing financial barriers inherent in traditional publishing practices.



2. TRANSPARENCY — NO NON-DISCLOSURE

Fair agreements that advance open access and control costs will only emerge from fair negotiations. Fair negotiations can only take place when publishers and libraries have equal access to information. Publisher practice has been to require non-disclosure agreements that restrict libraries from sharing the prices they pay and the terms and conditions of their agreements. The informational asymmetry this creates greatly favors the interests of publishers at the expense of libraries and their campuses. We will demonstrate our commitment to open access and transparency by rejecting non-disclosure language in our agreements and sharing our agreements publicly.



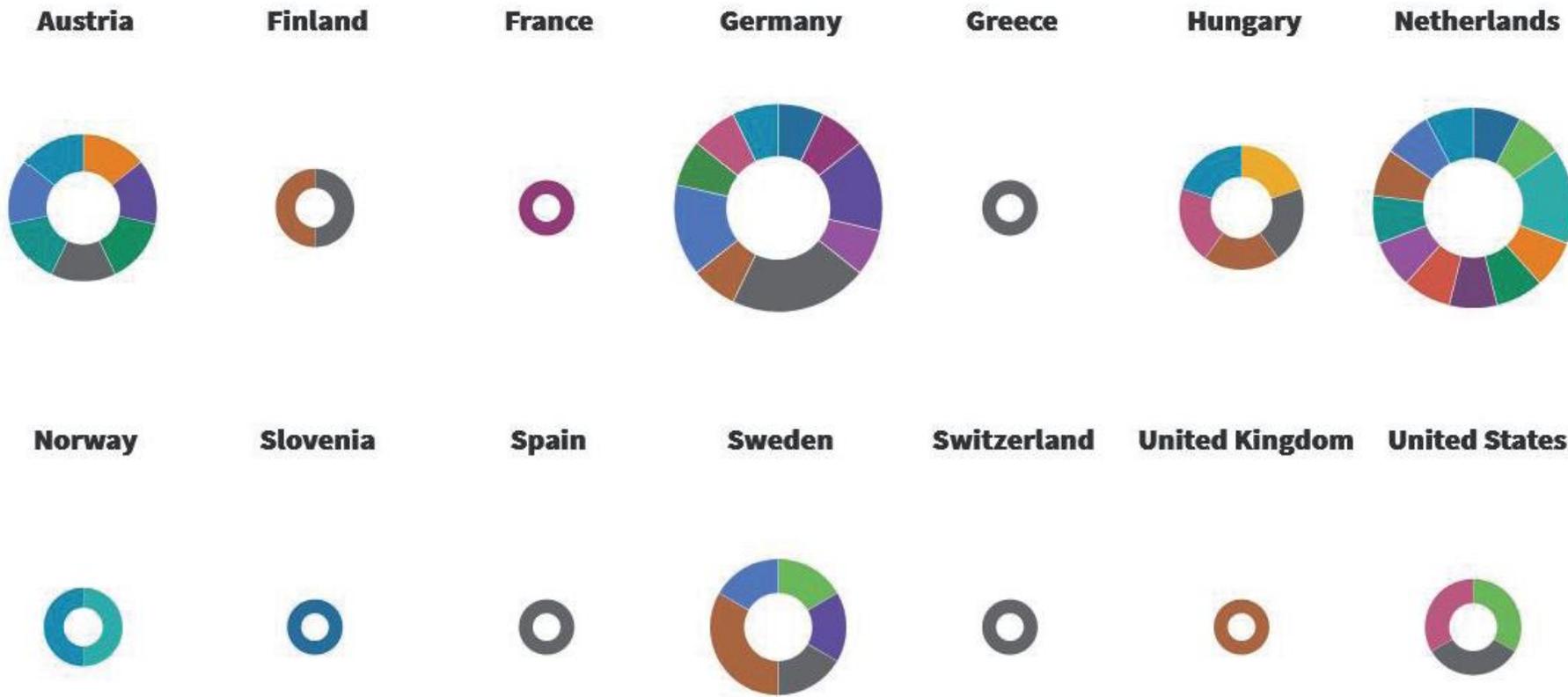
3. FINANCIALLY SUSTAINABLE

Financially sustainable journal agreements will emerge from a diverse scholarly publishing landscape—where learned societies and not-for-profit publishers can compete and thrive; where innovation is incentivized and rewarded; and where reasonable profit margins are the norm. We will prioritize agreements that help shape this world and provide long-term financial sustainability to our library.

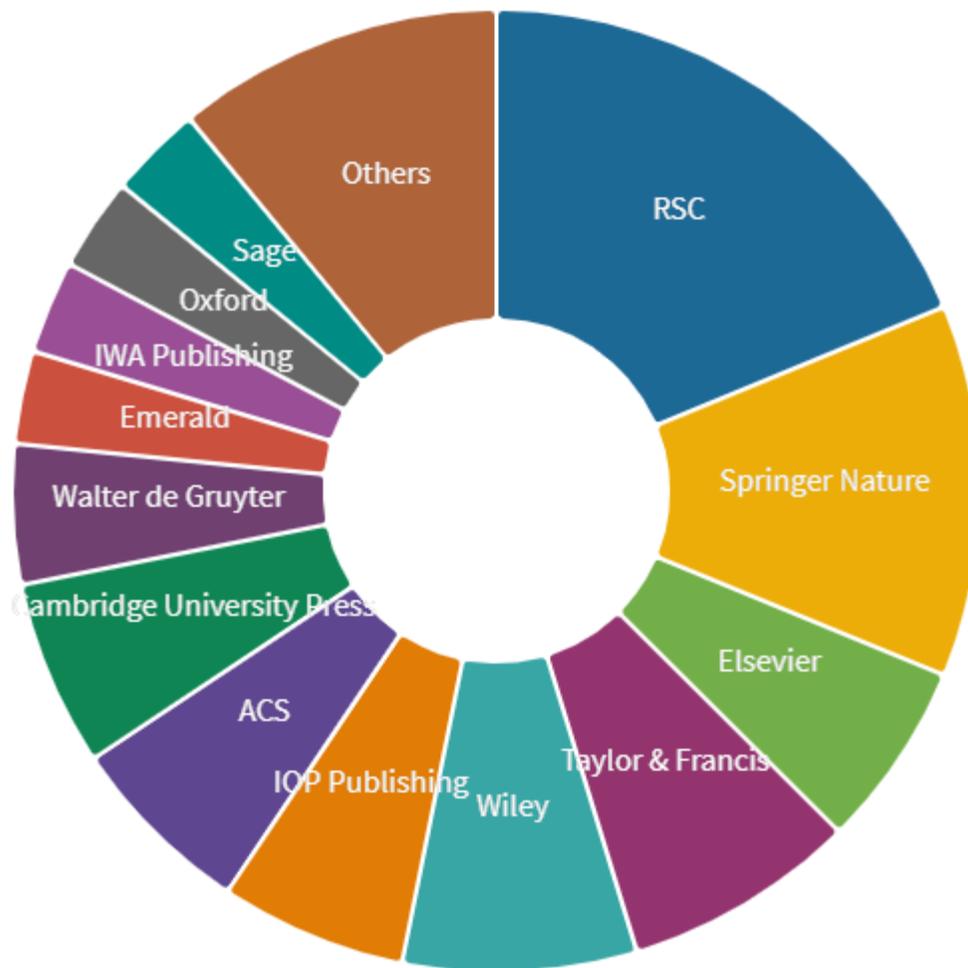


https://lib.dr.iastate.edu/cgi/viewcontent.cgi?article=1000&context=cas_reports

Global adoption of Transformative Agreements



Publishers embracing the transition

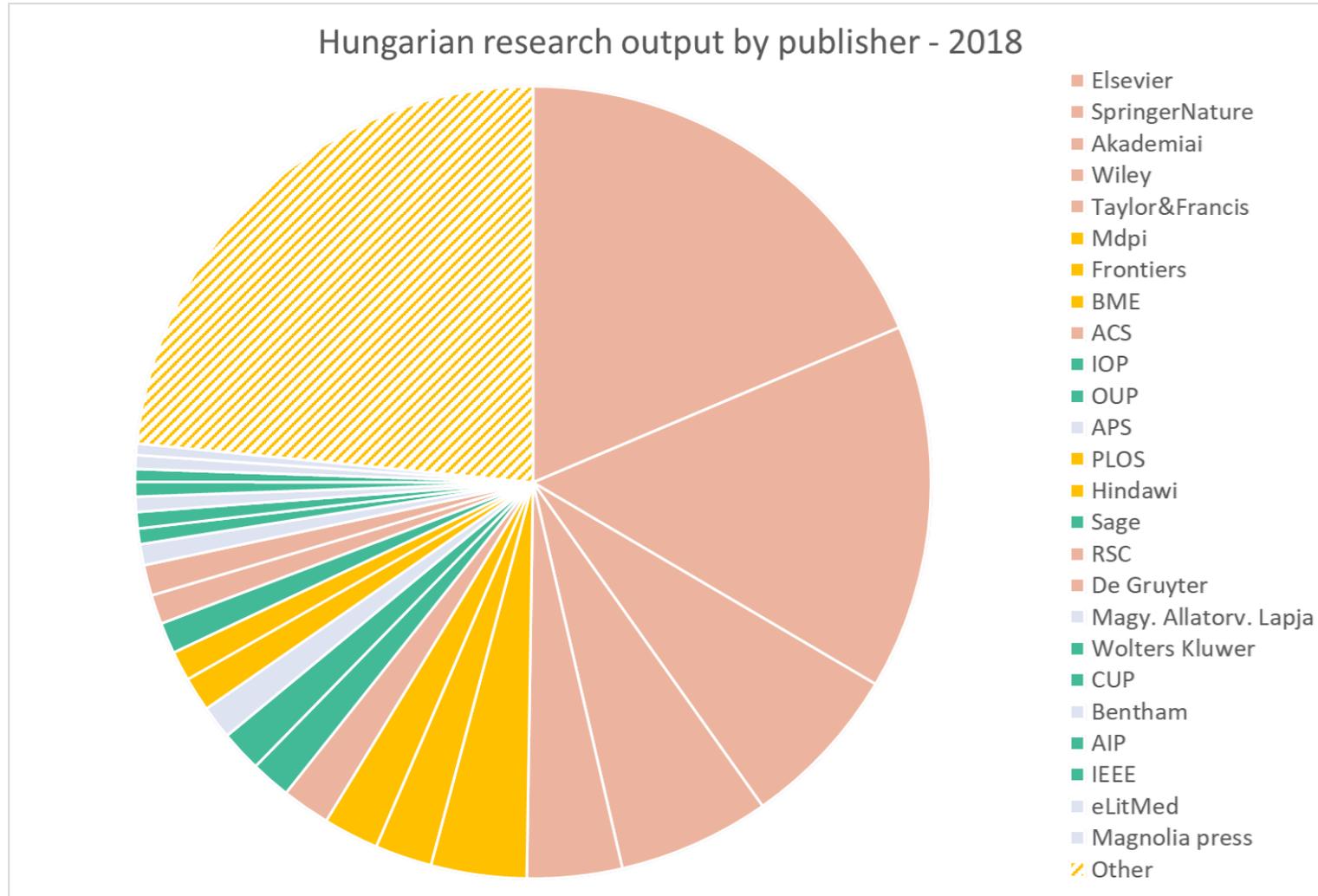


<https://esac-initiative.org/about/transformative-agreements/agreement-registry/>

RSC Springer Nature Elsevier Taylor & Francis Wiley IOP Publishing ACS Cambridge University Press
Walter de Gruyter Emerald IWA Publishing Oxford Sage Others



OA2020 proof of concept: transformative agreements accelerating the transition to open access



Gold OA publisher Transformative agreement Negotiations under way/under preparation

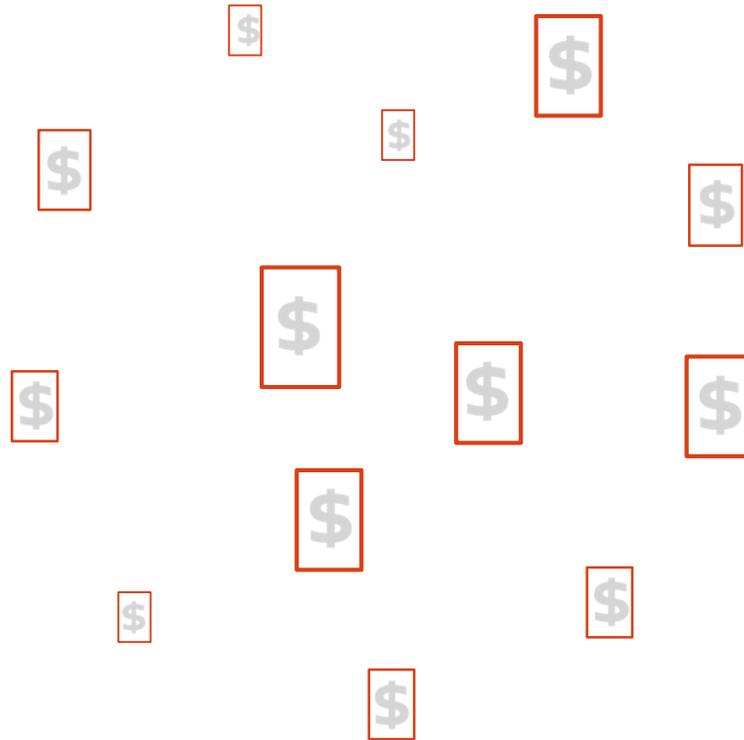




How Transformative Agreements work

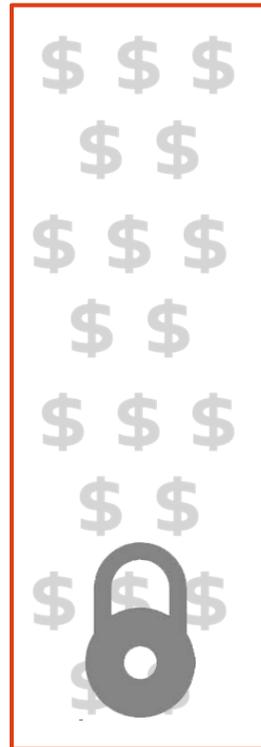
Digital transition: from print to big deals

Money flow shifted
from individual
subscriptions to the
online big deal
package



Digital transition: from print to big deals

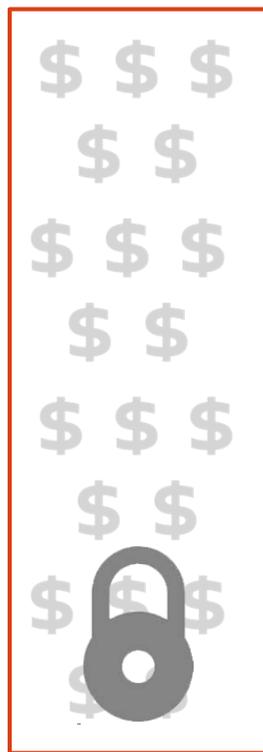
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Subscriptions

Hybrid era: open access on top of subscriptions

Authors increasingly pay APCs “in the wild” to publish their articles open access in (hybrid) subscription journals



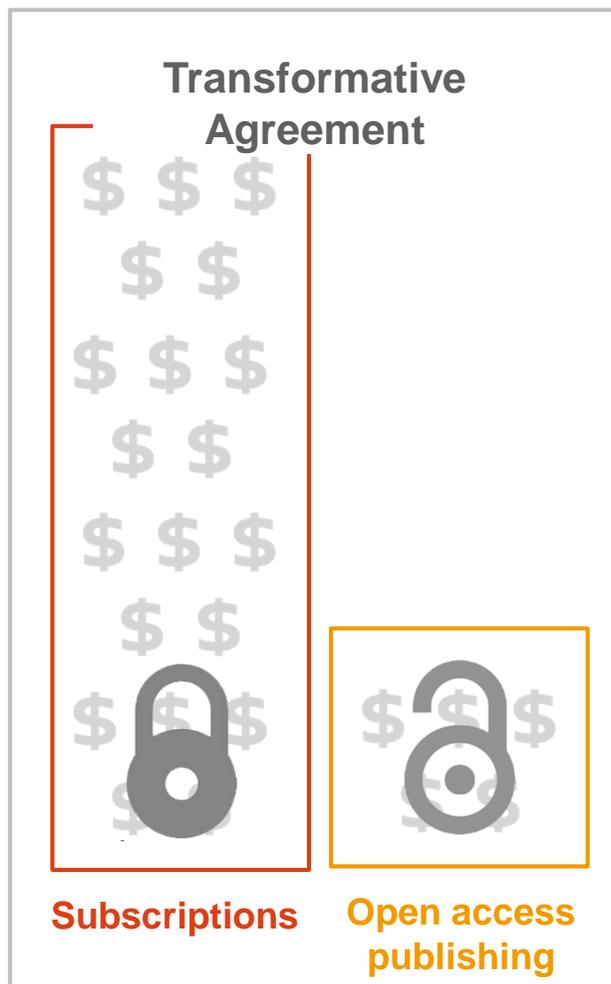
Subscriptions



Open access publishing

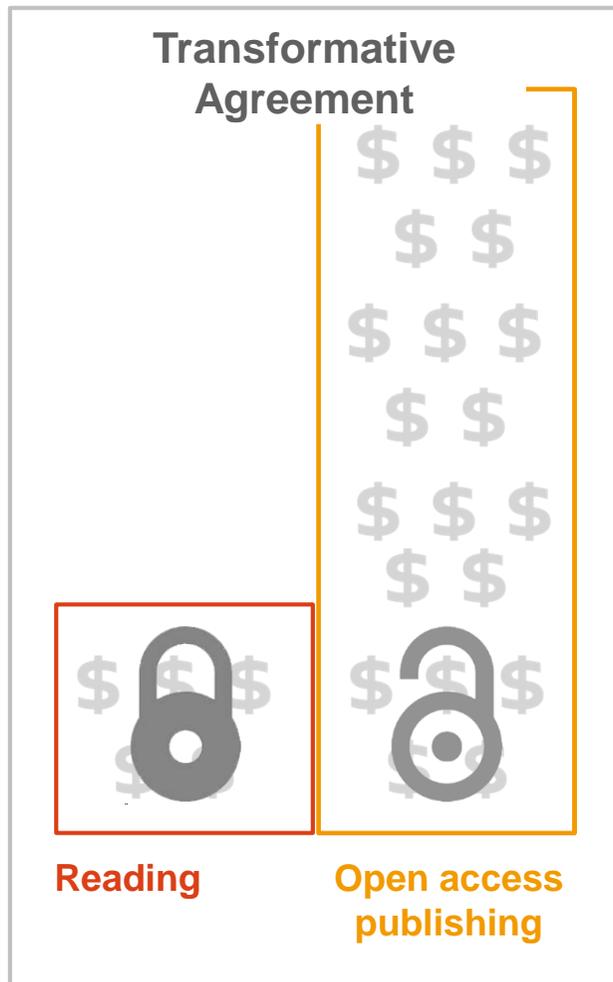
Transition phase: transform scholarly journals from closed to open

Hybrid spending is reined in and the two sides of scholarly communication are governed under a single agreement



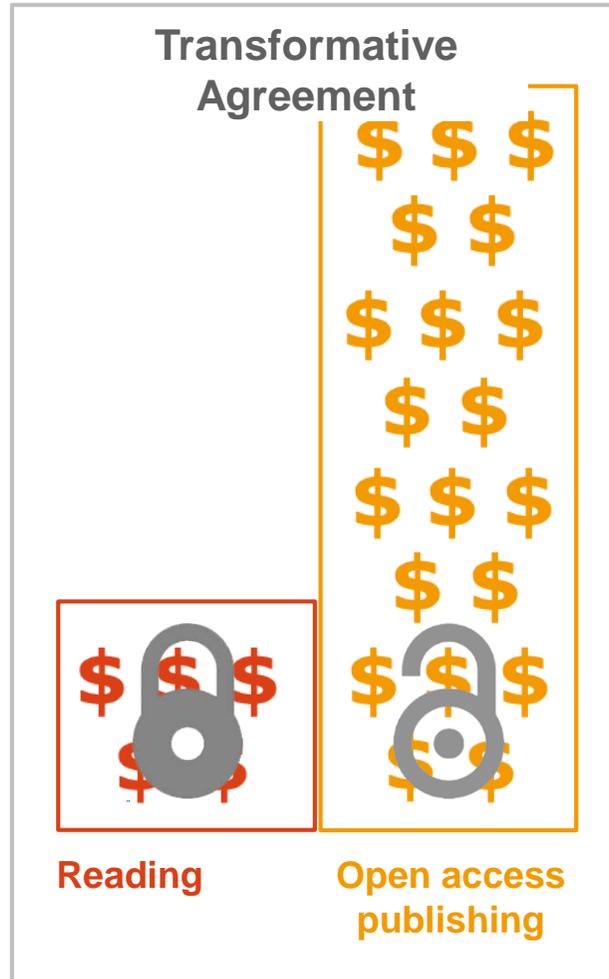
Transition phase: transform scholarly journals from closed to open

Money previously spent for subscriptions is now used to support open access publishing (and reading of content still behind the paywall), and...



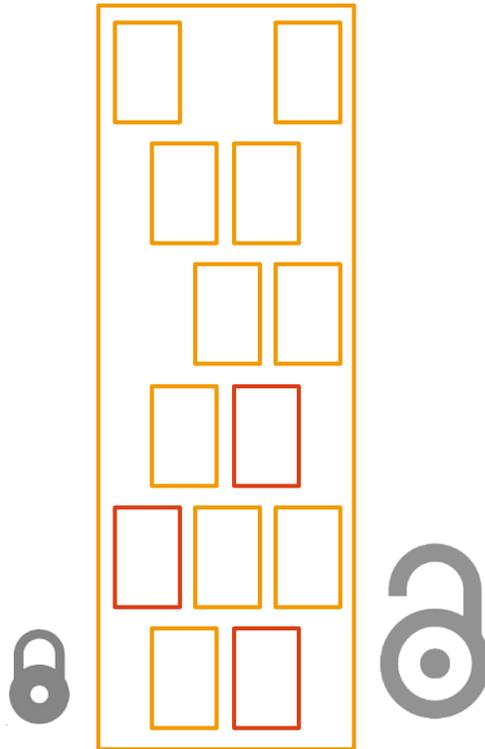
Transition phase: transform scholarly journals from closed to open

...costs are transparent and based on actual service rendered



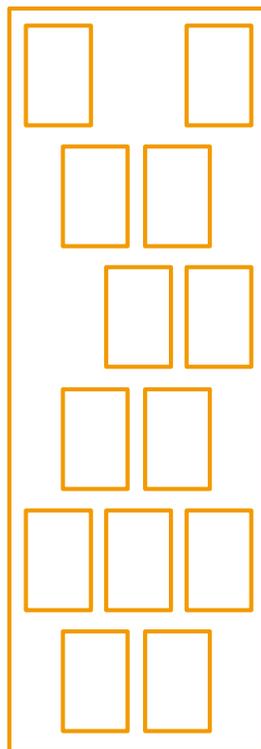
Transition phase: transform scholarly journals from closed to open

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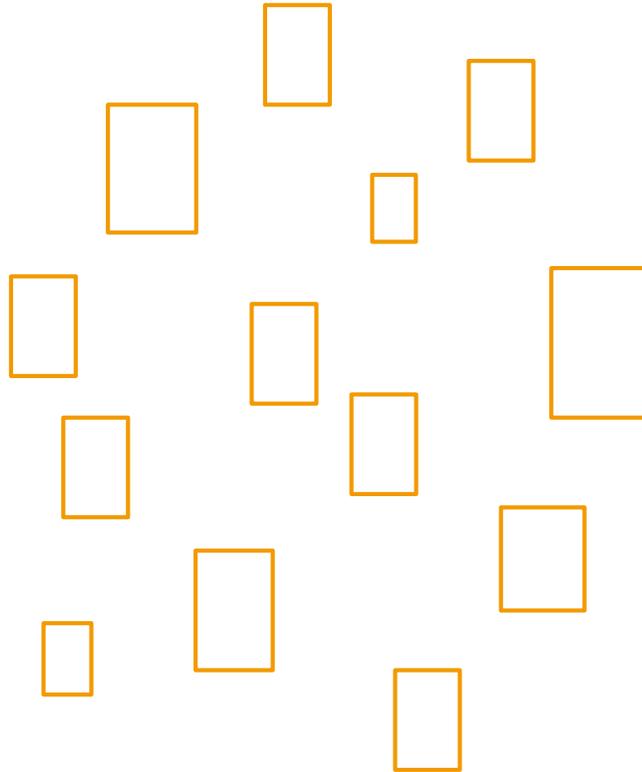
Transition phase: transform scholarly journals from closed to open

Open access
publishing

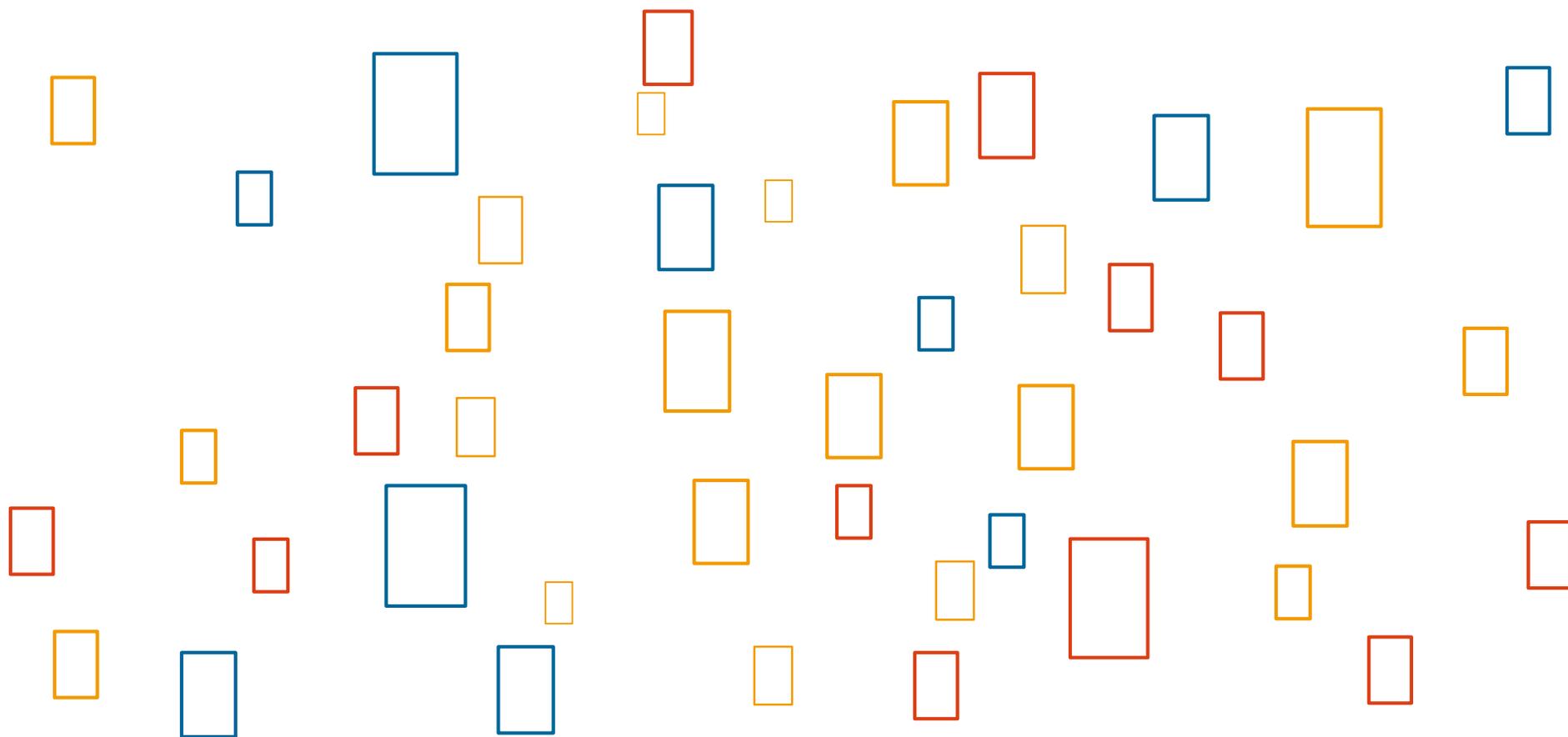


Preconditions for open access on a large scale

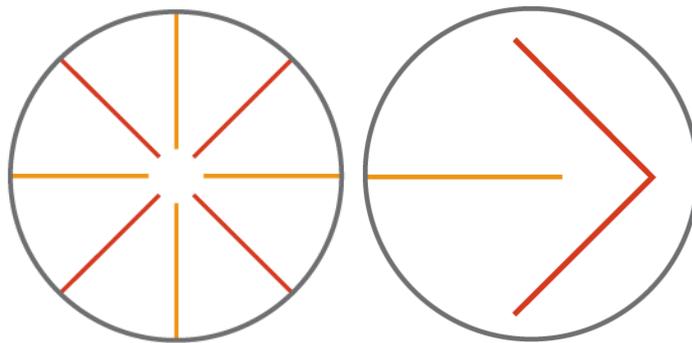
- Funds no longer locked in lump-sums flowing necessarily to big publishers
- Price transparency enables competition



———— **A scholarly communication landscape in which funds are free to follow the unique and diverse needs of scholars and science.**



Thank you!



Participate
in **OA2020**

Accelerate
the transition

Colleen Campbell
Open Access 2020 Initiative
Max Planck Digital Library

campbell@mpdl.mpg.de
[@ColleenCampbe11](https://www.instagram.com/ColleenCampbe11)

<https://oa2020.org>