

o p e n a c c e s s
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OA2020 – Initiative for the Large-Scale Transformation to Open Access

University of Pretoria, 10 May 2018

Dr Ralf Schimmer

Deputy Librarian & Head of Information, Max Planck Digital Library

1. The grounding of OA2020

From seminal declarations...

Removing access barriers to [scholarly] literature will accelerate research, enrich education, share the learning of the rich with the poor and the poor with the rich, make this literature as useful as it can be, and lay the foundation for uniting humanity in a common intellectual conversation and quest for knowledge.

Budapest Open Access Initiative
14 February 2002

Our mission of disseminating knowledge is only half complete if the information is not made widely and readily available to society.

Berlin Declaration on Open Access to
Knowledge in the Sciences and Humanities
22 October 2003



...to infinite research council statements

Action Plan towards Open Access to Publications

endorsed during the 2nd Annual Global Meeting, 27 – 29 May 2013, Berlin / Germany



Action 10: ...Research funders should work together with publishers (**and possibly with libraries from universities and research institutions**) to identify and adopt mechanisms that facilitate a sound cost administration and possibly support cost sharing efficiently.

Within such an activity, the research and publishing communities are also asked to develop and/or identify creative solutions that enable researchers with limited or no access to funds to publish via open access.

The vision of open access is clear and simple

OA was defined in three influential public statements: the Budapest Open Access Initiative (February 2002), the Bethesda Statement on Open Access Publishing (June 2003), and the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities (October 2003).

The basic idea of OA is simple: Make research literature available online without price barriers and without most permission barriers. Even the implementation is simple enough that the volume of peer-reviewed OA literature and the number of institutions providing it have grown at an increasing rate for more than a decade.

If there are complexities, they lie in the transition from where we are now to a world in which OA is the default for new research.

But the reality of OA is far from clear and simple

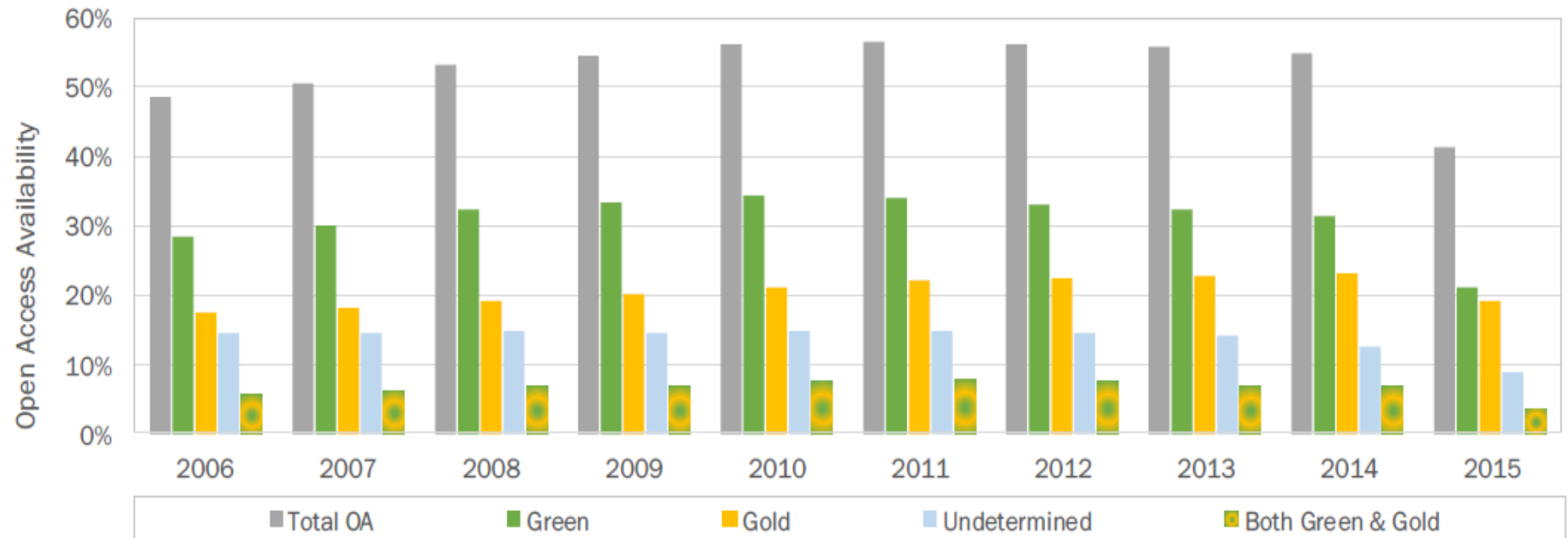


Figure 3 Percentage of OA per publication year (2006–2015), per OA type, as measured in Q3 2016

Note: Open access types are not mutually exclusive. Underlying data available in Table XI.

Source: Prepared by Science-Metrix using the Web of Science (Clarivate Analytics) and the 1science database



Lack of significant progress in the OA movement

*Open Access is (exceptionally) strong as a **principle***

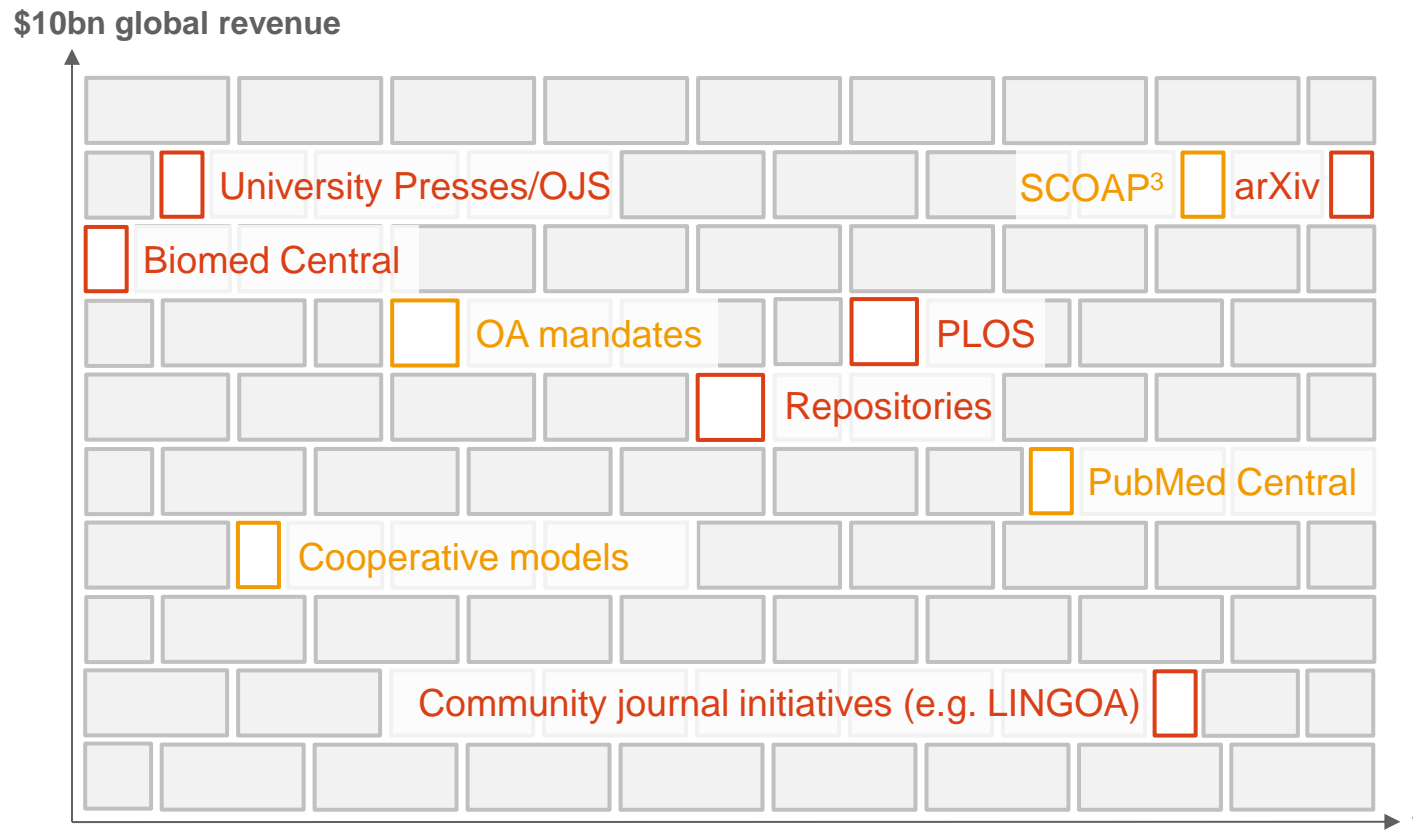
- cf. the many resolutions, policies, guidelines etc.

*...but still fairly weak as a **practice***

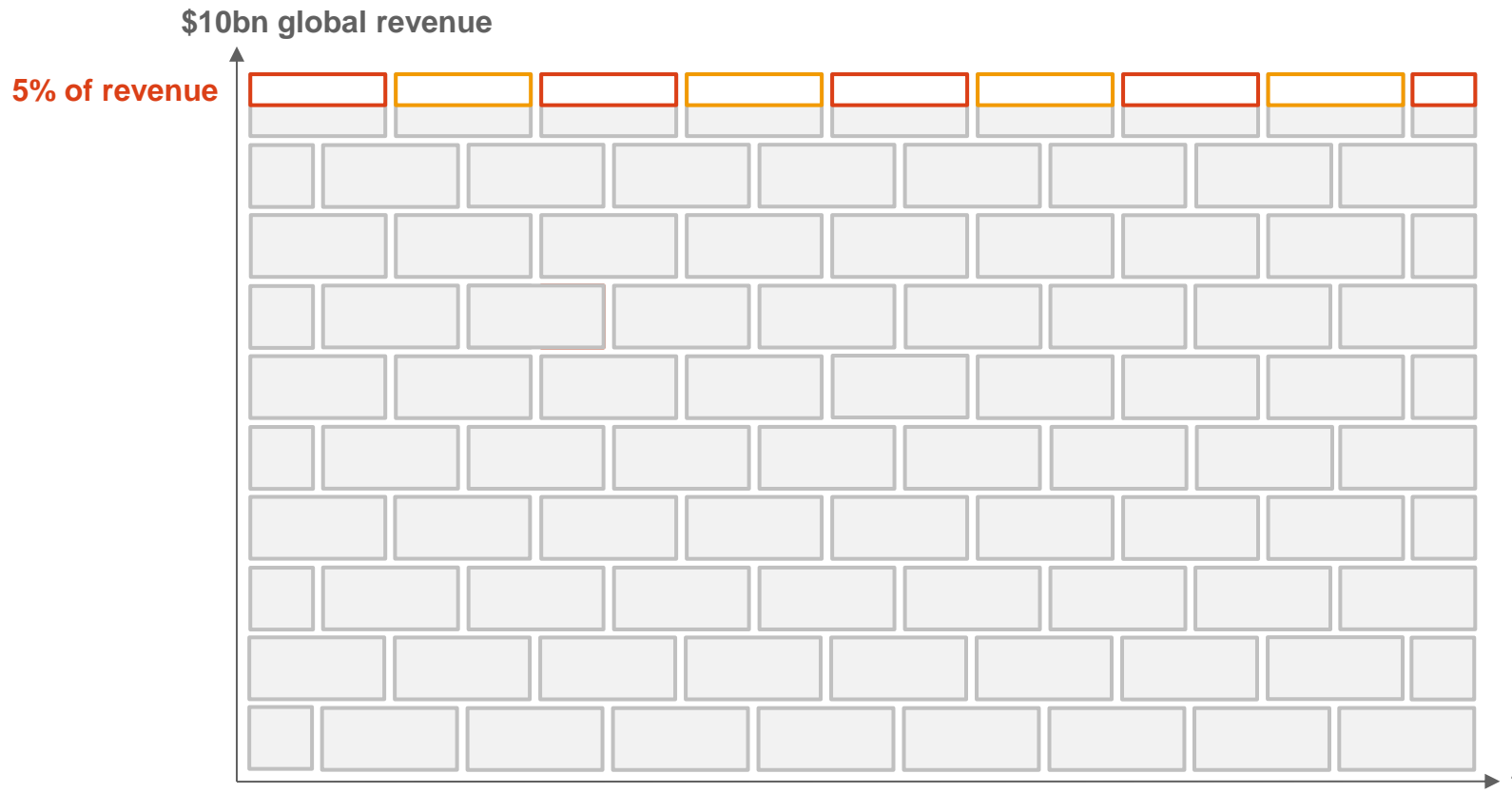
- very low deposit rate in IRs
- only 15% of research is immediately OA
- subscription system as prosperous as ever



After 15 years of OA movement, the paywall system remains largely unaffected



After 15 years of OA movement,
the paywall system remains largely unaffected



**More than a decade of global effort only made a dent in the paywall system.
The subscription system is as prosperous as ever.**

The paywall system: The antagonist to a world of openness

Paywall regime



- excessive costs and outrageous price increases
- restrictive copyright
- budgets monopolized by big deals with pricing still based on print legacy
- utterly outdated system, prohibiting digital research
- roadblock to innovation and new development
- breeding piracy

Open Access



- sustainable economic models, transparency and competition
- free usage rights
- money free to float where needed, costs based on service levels
- open system, responding to the need of the 21st century
- fundamental principle to enable the richness of Open Science
- enabling true social networks

The paywall is the primary roadblock to openness, innovation and sustainability.



The key question

What does it take to make Open Access the default in scholarly communication?

We may tolerate being 15% away from 100%.

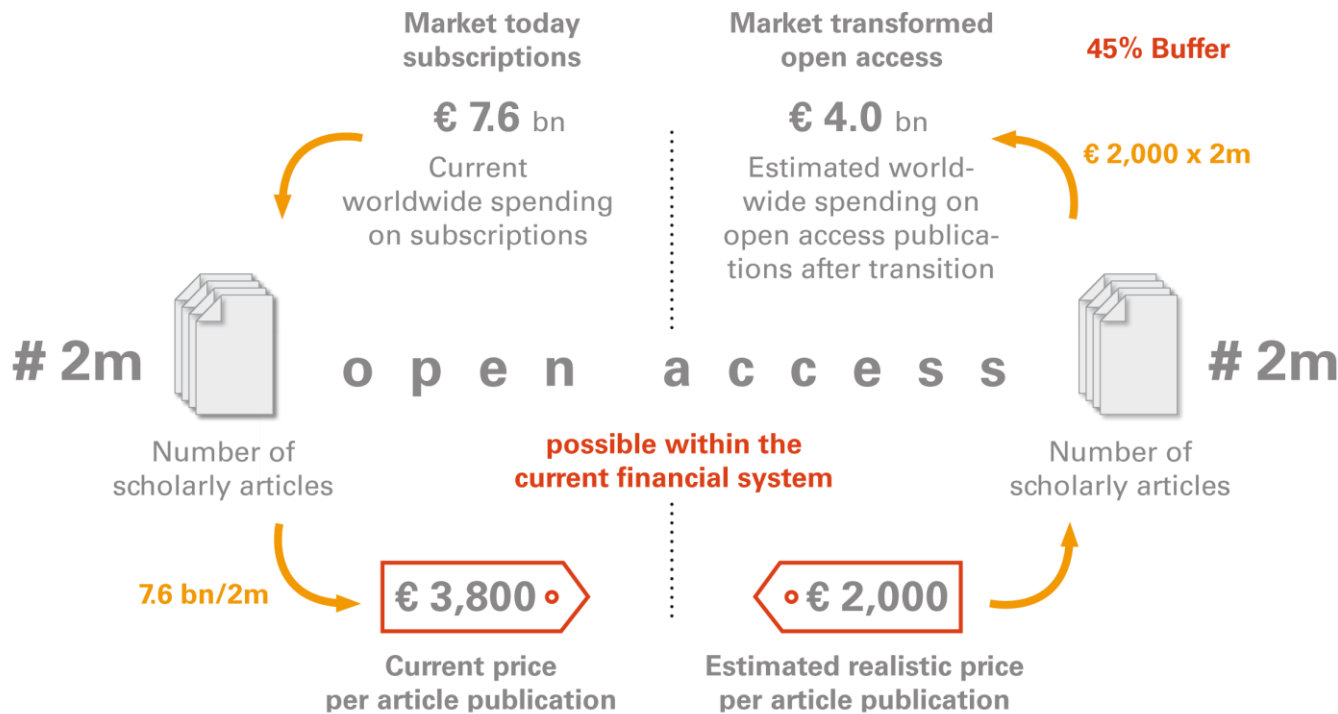
But we simply cannot accept being only 15% away from 0%.



2. Using our money as a new leverage

There is more than enough money in the system*

Worldwide Publishing Market



“The annual revenues generated from English-language STM journal publishing are estimated at about \$10 billion in 2013.”

- Excerpt from the 2015 Annual Report of the International Association of STM Publishers

This translates into a spending level well in excess of \$5,000 per research paper through subscriptions

* 2015 MPDL White Paper

For publishers, the *commercial value* of an article copyright is even much, much higher



As part of the many lessons learned by Sci-Hub, publishers such as the ACS claim the copyright of an individual research paper to be worth **\$150,000**



“ACS seeks a judgment against Sci-Hub in the amount of \$4,800,000, which is based on infringement of a ‘representative sample of publications’ containing ACS's copyrighted works, multiplied by the statutory limit of \$150,000 for each of the 32 works.”

(source: **ACS suit against Sci-Hub**)



AMERICAN CHEMICAL SOCIETY



ELSEVIER

These dire financial indicators are a call to action

**\$5,000 per research
paper via subscriptions**

**Economic interest of
\$150,000 per article
copyright**

**STM publisher profit
margins 30-40%**

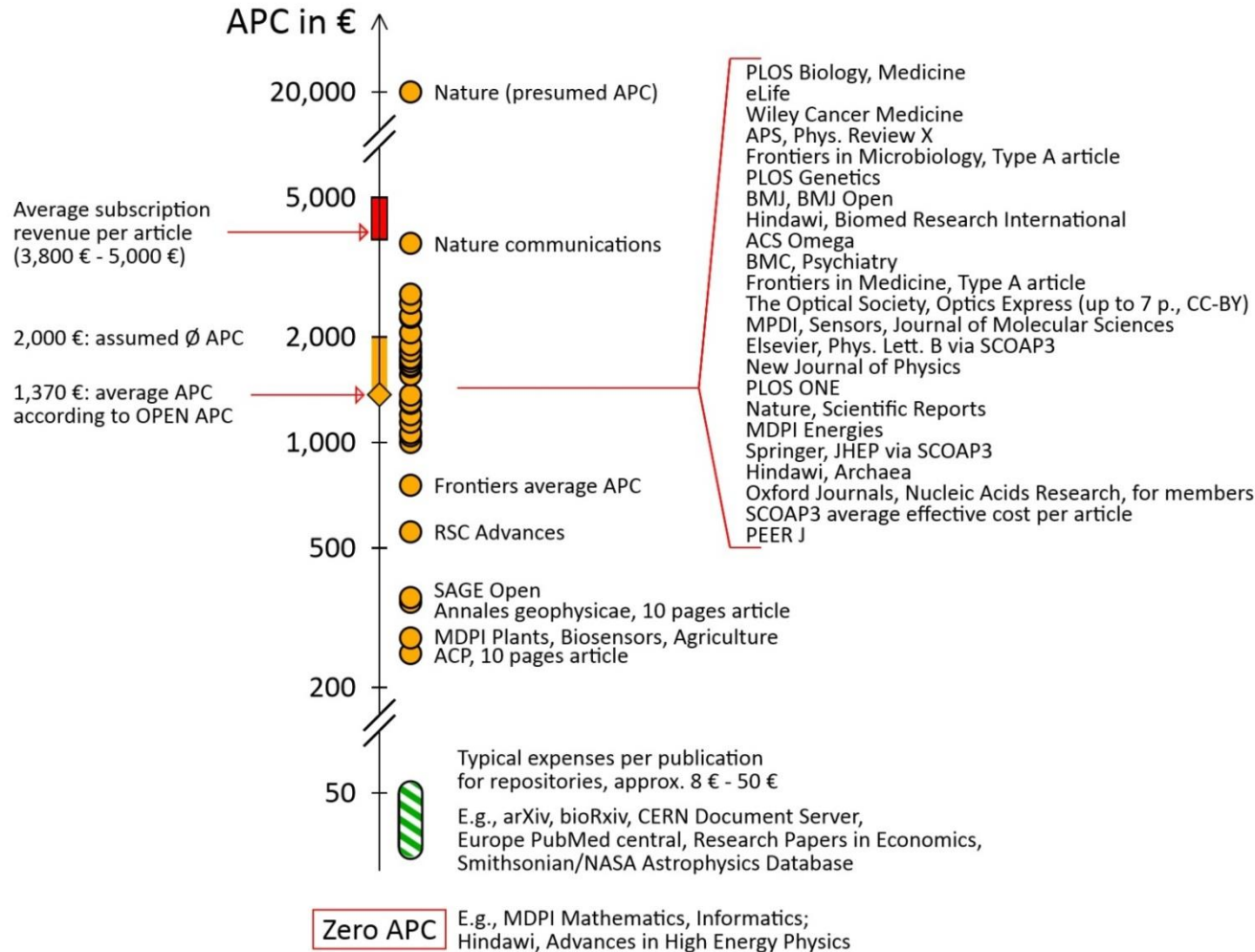
**Publisher OA revenues
are increasing unchecked**

We are held accountable for how we manage our institutions' funds.

We must use these financial indicators as leverage:

to reduce and control costs, and
to get better services and more open access

The true costs of pure gold OA publishing



The price points for pure OA publishing are clustering at levels considerably **below** the subscription and hybrid spending levels

analysis by MPDL 2017; additional evidence to be found here:

open @PC Open Data on Article Charges



Economic leverage and concerted action

We have the leverage to bring down the **\$5,000 per article** we are putting on the table in the subscription system.

By virtue of our own **spending decisions** we can drive Open Access into the system.

We don't need further mandates for researchers

w e n e e d a

mandate for our money



Proposing an orderly transition

Open Access on a **large scale** can only be accomplished if and as soon as we **change the business model** of the existing scholarly journals and **leave the subscription system** behind.

The pursued disruptions would **affect only the underlying cash flows**, rather than the publishing process itself or the roles of journals and publishers.

The consequential shift of our investment

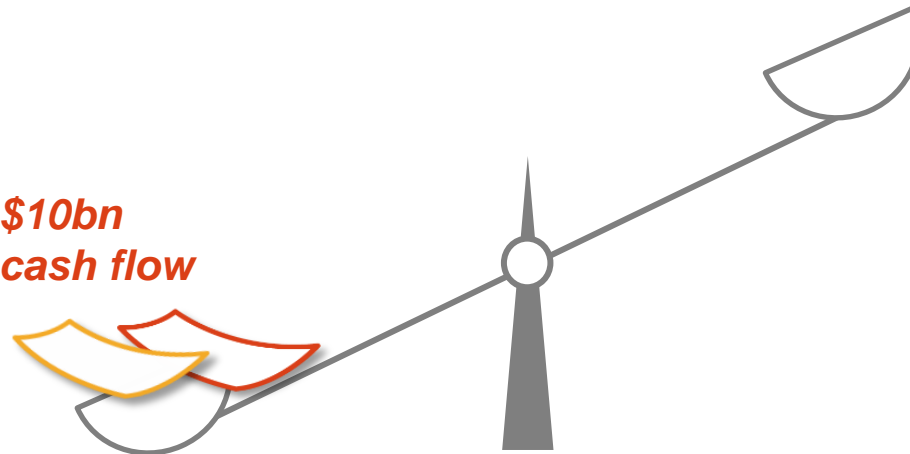
Paywall regime



Open Access



*\$10bn
cash flow*



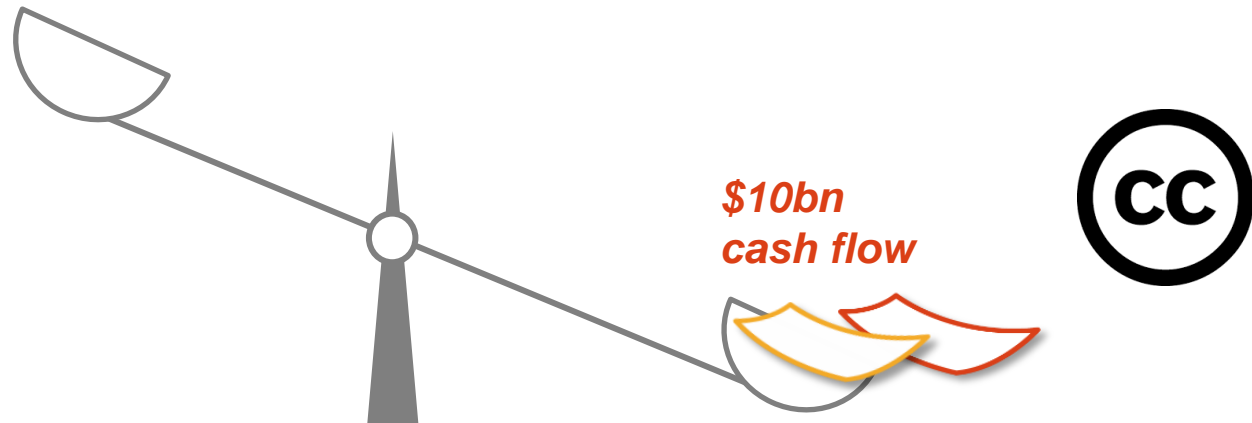
By re-organizing the money flow,
journals can successfully be flipped to an open model.

The consequential shift of our investment

Paywall regime



Open Access

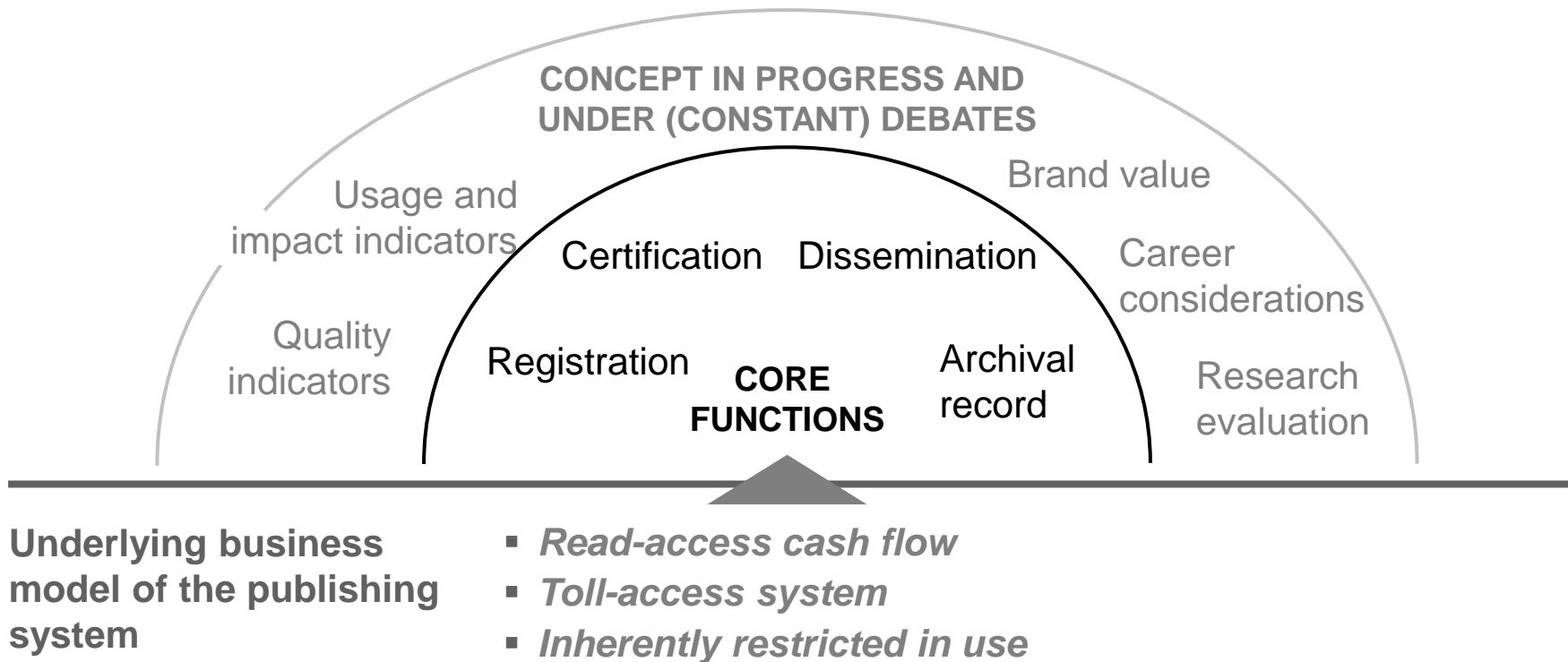


By re-organizing the money flow,
journals can successfully be flipped to an open model.

Detach and focus on the underlying business model of scientific journal publishing

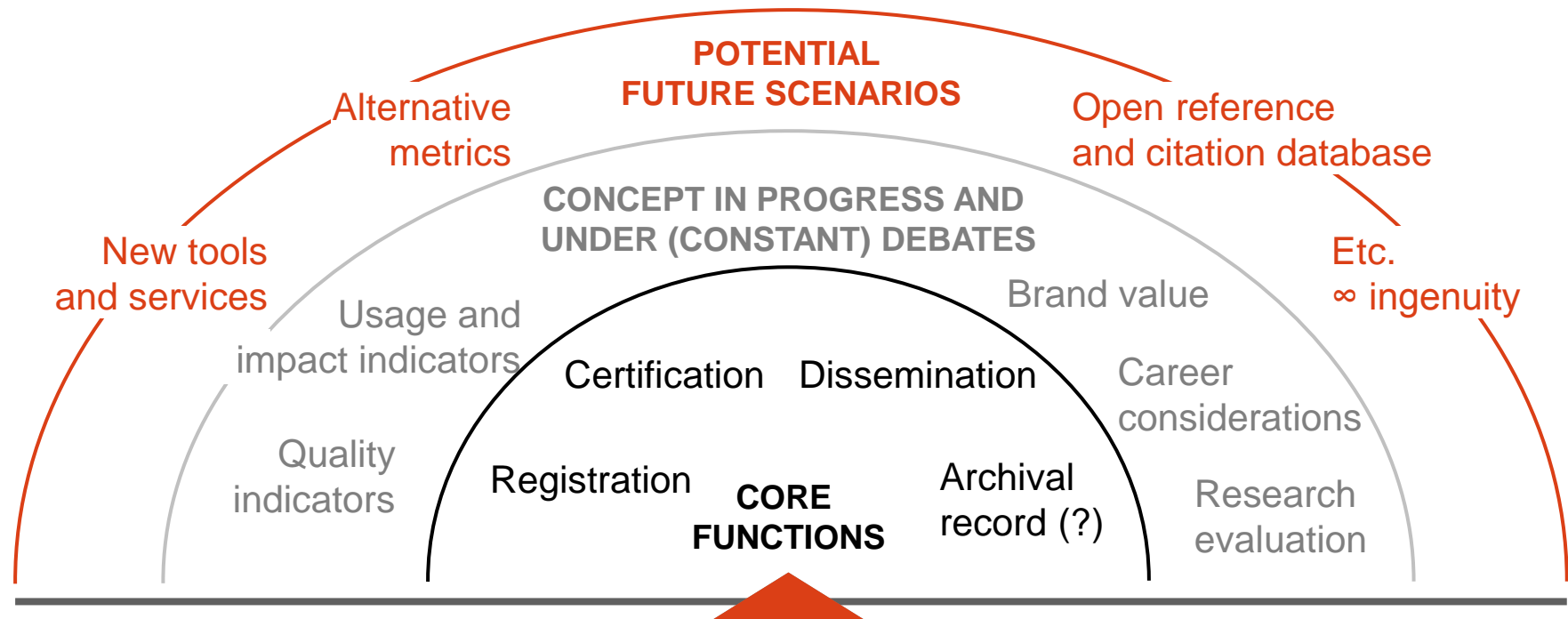


Functions and enabling elements of the publishing system



Detach and focus on the underlying business model of scientific journal publishing

Functions and enabling elements of the publishing system



Underlying business model of the publishing system

- **Publication service based cash flow**
- **Open access system**
- **Inherently open in use and re-use**

The cash flow can be changed without impacting the functions of publishing

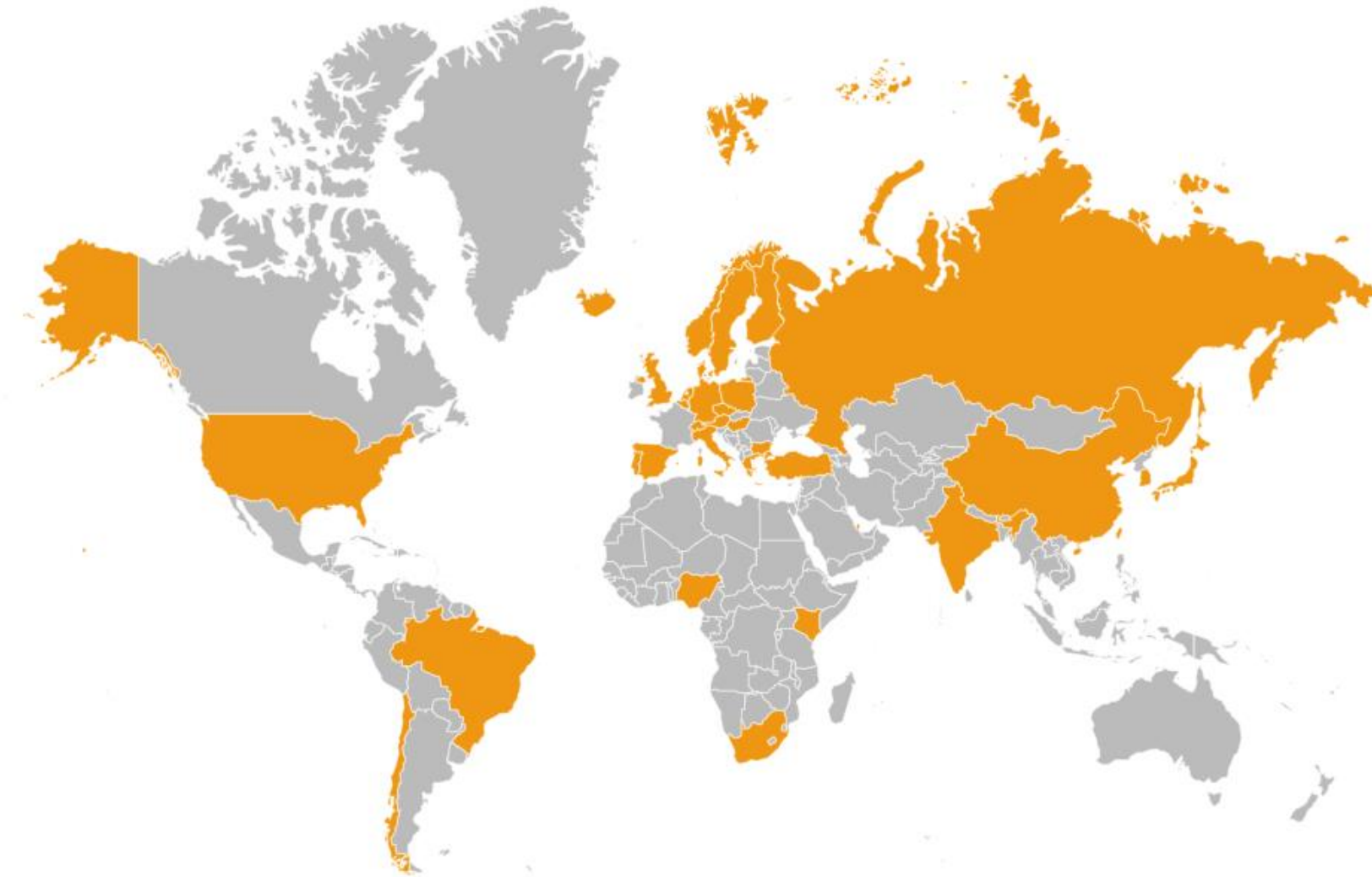
3. The unfolding of OA2020

EXPRESSION OF INTEREST

- We aim to transform a majority of today's scholarly journals from subscription to OA publishing in accordance with community-specific publication preferences.
- We will pursue this transformation process by converting resources currently spent on journal subscriptions into funds to support sustainable OA business models.

OA2020

The power of collective action



OA2020

A global alliance to meet publishers at eye level

open access
2020



107 signatories as of today



Vetenskapsrådet



국립중앙도서관



swissuniversities



OA2020

Enabling institutions to *take action* in the transition

open access
2020



<https://oa2020.org>

The screenshot shows the homepage of the OA2020 website. The header is orange with the text 'open access 2020' on the left and navigation links 'be informed', 'take action', 'collaborate', 'learn more', and 'news & events' on the right, followed by a search bar. The main content area has a white background with a large orange diagonal bar. The text reads: 'TODAY'S SCHOLARLY JOURNALS OPEN, RE-USABLE, SUSTAINABLE'. Below this, under the heading 'vision', it states: 'OA2020 IS A GLOBAL ALLIANCE COMMITTED TO ACCELERATING THE TRANSITION OF TODAY'S SCHOLARLY JOURNALS TO OPEN ACCESS.' Under the heading 'mission', it states: 'WE COLLABORATE TO TRANSFORM THE CURRENT PUBLISHING SYSTEM, REPLACING THE SUBSCRIPTION BUSINESS MODEL WITH NEW MODELS THAT ENSURE THAT OUTPUTS ARE OPEN AND RE-USABLE AND THAT THE COSTS BEHIND THEIR DISSEMINATION ARE TRANSPARENT AND ECONOMICALLY SUSTAINABLE.'

open access
2020

be informed take action collaborate learn more news & events

TODAY'S SCHOLARLY JOURNALS
OPEN, RE-USABLE, SUSTAINABLE

vision

OA2020 IS A GLOBAL ALLIANCE COMMITTED TO
ACCELERATING THE TRANSITION OF TODAY'S
SCHOLARLY JOURNALS **TO OPEN ACCESS.**

mission

WE COLLABORATE TO TRANSFORM THE CURRENT
PUBLISHING SYSTEM, **REPLACING THE SUBSCRIPTION
BUSINESS** MODEL WITH NEW MODELS THAT ENSURE
THAT OUTPUTS ARE **OPEN AND RE-USABLE** AND THAT
THE COSTS BEHIND THEIR DISSEMINATION ARE
TRANSPARENT AND **ECONOMICALLY SUSTAINABLE.**

Local OA2020 roadmaps aligned for global impact

University of California, <https://libraries.universityofcalifornia.edu/about/initiatives/scholarly-communication/>

United States, <https://oa2020.us/tools-resources-2/>

Austria, <http://www.oana.at/>

Canada, <http://www.crkn-rcdr.ca/en/institutional-mobilization-toolkit>

Finland, <https://www.kiwi.fi/display/finelib/Scholarly+publications+-+FinELib+negotiations>

Germany, <https://www.projekt-deal.de/about-deal/>

Max Planck Society, <https://openaccess.mpg.de/2255290/offsetting-effects-for-the-mpg-in-2017>

Netherlands, <http://www.vsnu.nl/Roadmap-open-access-2018-2020-English/>

Sweden, <http://openaccess.blogg.kb.se/english/>

Switzerland, https://www.swissuniversities.ch/.../Open_Access__strategy_final_DE.pdf



Roadmap open access 2018 - 2020



Example: VSNU in the Netherlands



open access
2020

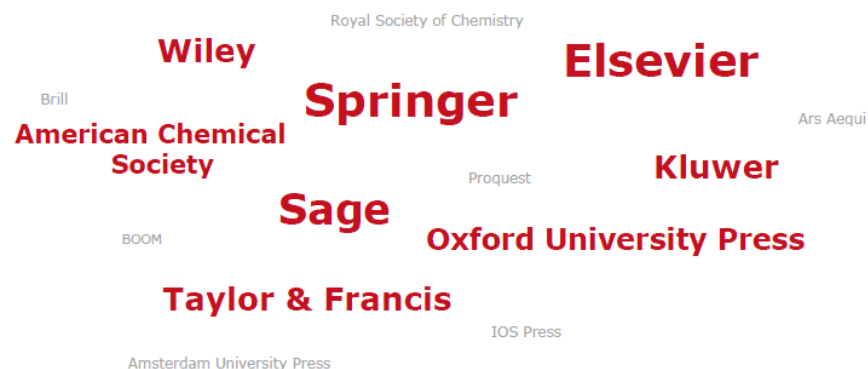
The 14 Dutch Universities



The five pillars of open access



Our approach of negotiations: Focus on the biggest publishers



Our approach: Big deals as vehicle for open access negotiations



Example: Austria



TP1

Impact analysis of the transition to Open Access

Leader: Georg Fessler

TP2

Funding for transitional Open Access business models

Leader: Brigitte Kromp

TP3

Establishment, expansion and financial support for OA
publication funds

Leader: Christof Capellaro

TP4

Promotion of OA publications and alternative OA publication
models

Leader: Andreas Ferus

Example: University of California

PATHWAYS TO OPEN ACCESS

Possible Next Steps

1. Conduct library-led outreach, and allocate funding or investments, to support author communities' preferred transition modes (e.g. as envisioned by Scholar-owned OA movement, f.k.a. "Red OA").
2. Engage the campus author community, research office, and academic departments in supporting an OA transition--and potentially supporting author-led boycotts.
3. Engage with publishers, scholarly societies, and editorial boards to support a flip to OA.
4. Engaging in national and international opportunities for investment in or transition toward OA (e.g. OA2020, ICOLC, OA Publishing Cooperative).
5. Utilize STAR Team processes to evaluate and pursue shared investment in transformative publishing.
6. Augment discovery and visibility of OA scholarly outputs.

Example: Swiss Universities

swissuniversities

open access
2020

Factsheet zur Verhandlungsstrategie von swissuniversities

Die Verhandlungsstrategie verfolgt das Ziel, die nationalen Verträge über den Zugang zu wissenschaftlichen Zeitschriften mit den Grossverlagen Springer Nature, Wiley und Elsevier mit Open-Access-Komponenten umzugestalten. Die Verhandlungen sollen zeitlich gestaffelt erfolgen und werden 2018 mit Springer Nature beginnen (vgl. Zeitplan). Die Verhandlungen mit Wiley und Elsevier sind ab 2019 vorgesehen.



Abbildung 1: Zeitplan

https://www.swissuniversities.ch/fileadmin/swissuniversities/Dokumente/Hochschulpolitik/Open_Access/180315_Factsheets_Verhandlungsstrategie_D.pdf

Open Access

25 Apr 2018

"We're negotiating open access"

Thanks to the internet, academic publications are increasingly distributed and read online. But open access comes at a price. The Swiss universities are negotiating with the world's three largest scientific publishers for fair – in other words affordable – terms of access. Michael Hengartner, president of swissuniversities and UZH, explains the background.

Stefan Stöcklin

<http://www.news.uzh.ch/en/articles/2018/interview-open-access.html>



<https://edition.pagesuite-professional.co.uk/html5/reader/production/default.aspx?pubname=&edid=558600cb-8de9-4616-9242-f8f3b41da315&pnum=144>



🔍 "Fees have risen so much that they're no longer within libraries' budgets", Michael Hengartner says. (Image: Frank Brüderli)

Example: DEAL/Germany

All German Research organizations have joined OA2020



DEAL negotiations with **Elsevier**, **Wiley** and **SpringerNature** are an expression of collective demand for more OA in the publishing system in Germany

PAR model (Publish & Read)

- All publications by corresponding authors of eligible institutions become open access immediately upon publication (CC-BY)
- Fair pricing based solely on publication output

Aligned with OA2020 national approaches in **UK, NL, AT, SE, NO** and more countries lining up

DEAL: enormous press coverage and international attention



No Deal: German Universities Prepare For Cut-Off From Elsevier Journals

16/12/2016 BY MONIKA ERMERT FOR INTELLECTUAL PROPERTY WATCH — 8 COMMENTS

<https://www.ip-watch.org/2016/12/16/no-deal-german-universities-prepare-cut-off-elsevier-journals/>

RELX Group's Elsevier fights open access in Germany

Posted on August 6, 2017

<http://kevin.lexblog.com/2017/08/06/relx-groups-elsevier-fights-open-access/>

German researchers resign from Elsevier journals in push for nationwide open access

By Gretchen Vogel | Oct. 13, 2017, 3:30 PM

<http://www.sciencemag.org/news/2017/10/german-researchers-resign-elsevier-journals-push-nationwide-open-access>

The screenshot shows the top portion of a Nature news article. The header includes the 'nature' logo and the tagline 'International weekly journal of science'. A navigation bar contains links for Home, News & Comment, Research, Careers & Jobs, Current Issue, Archive, and Audio. Below this is a breadcrumb trail: News & Comment > News > 2017 > February > Article. The article title is 'German scientists regain access to Elsevier journals', followed by a sub-headline: 'Publisher restores access as negotiations for a nationwide licence continue.' The author is identified as 'Quirin Schiermeier' and the date is '14 February 2017'.

Nature | doi:10.1038/nature.2017.21482

Efforts at increasing the international alignment

European High-Level summit meeting on Open Access negotiations

3. May 2018

Upon invitation by Horst Hippler, president of the HRK, a high-level summit meeting was held yesterday in Berlin in the presence of Robert-Jan Smits, the recently appointed Open Access envoy of the EU.

Teams of university presidents, funding organisations and librarians that are involved in the ongoing independent negotiations with the major publishers (Elsevier, SpringerNature, Wiley) in the various countries, exchanged their experiences. Policies and concrete actions to accelerate the transition from the current, subscription-based publication system, to a complete open access "Publish and Read" system were discussed.

The participants agreed on aligning their strategies and striving for optimum transparency on the procedure and outcome of the negotiations.

"We see that the transition to open access is too slow, and I am utterly upset and concerned about this" Professor Hippler said. "It was broadly echoed in the meeting, that the limits of partnership of academic institutions with these large publishers have been reached."

<https://www.hrk.de/press/press-releases/press-release/meldung/european-high-level-summit-meeting-on-open-access-negotiations-4364/>

"Aligning strategies to increase our leverage"

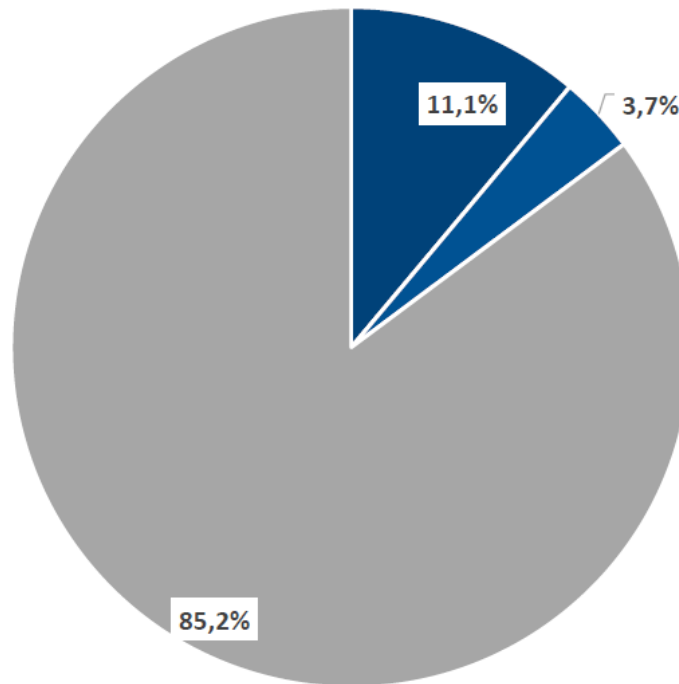
Theme for the upcoming **14th Berlin Conference on Open Access**, designated as an **OA2020 Initiative Transformation Strategy Meeting**.

***3-4 December 2018
Harnack Haus
Berlin, Germany***

Readiness for transformation growing

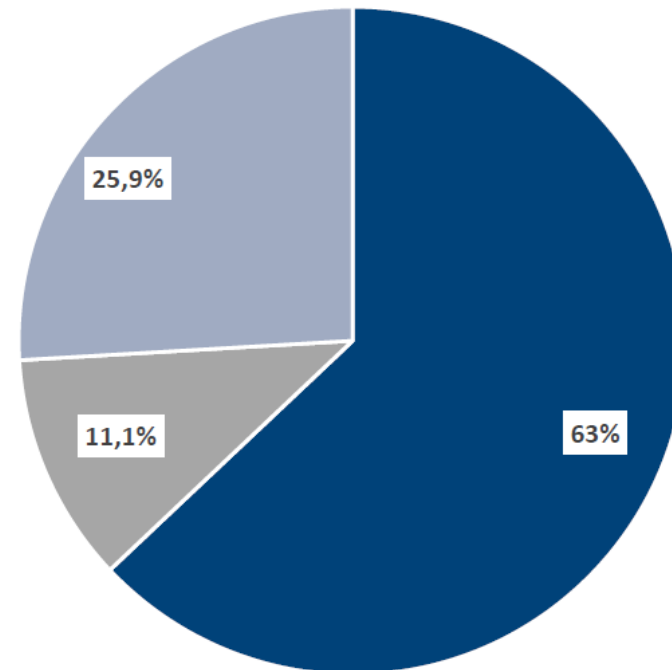


Inclusion of APCs in current contracts



■ Yes ■ Offsetting provisions ■ No

Inclusion of APCs in future big deal contracts



■ Yes ■ No ■ Still under analysis

4. What needs to get done

Steps to lead the transition

1 OA2020 Expression of Interest (*policy*)

- Advocate for signing the OA2020 Expression of Interest at consortium and/or institutional level
- Acknowledge and assume key role in scholarly communications beyond subscriptions
- Share and learn best practice as a contact point in the global OA2020 community

2 OA2020 Roadmap(s) (*action*)

- Develop national, regional or institutional roadmaps with practical steps to drive the transition:
 - Conduct data analysis (publication & financial data)
 - Consolidate subscription and OA responsibilities under one management & budget
 - Take publisher relations to a new level (e.g. engage in combined model, i.e. offsetting)

Changing our focus from read access to publishing

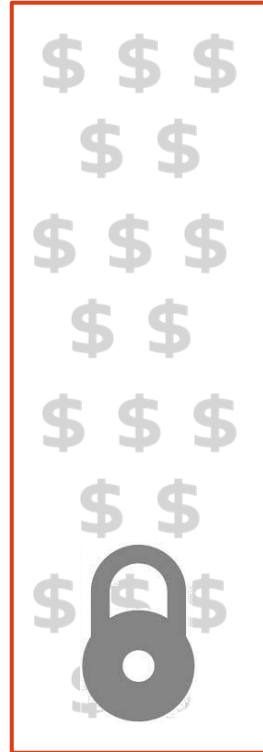
Key understanding: One-dimensional focus on subscriptions (read access) is not good enough anymore.

Publishing and reading are two sides of the same medal. They are **interrelated** and **must be combined** in our service level agreements with the publishers—starting with **transitional agreements** (e.g. *offsetting* or *publish & read* models).

The implications of hybrid OA publishing

Institution

- Spending for reading
- Spending for publishing *on top*



Subscriptions



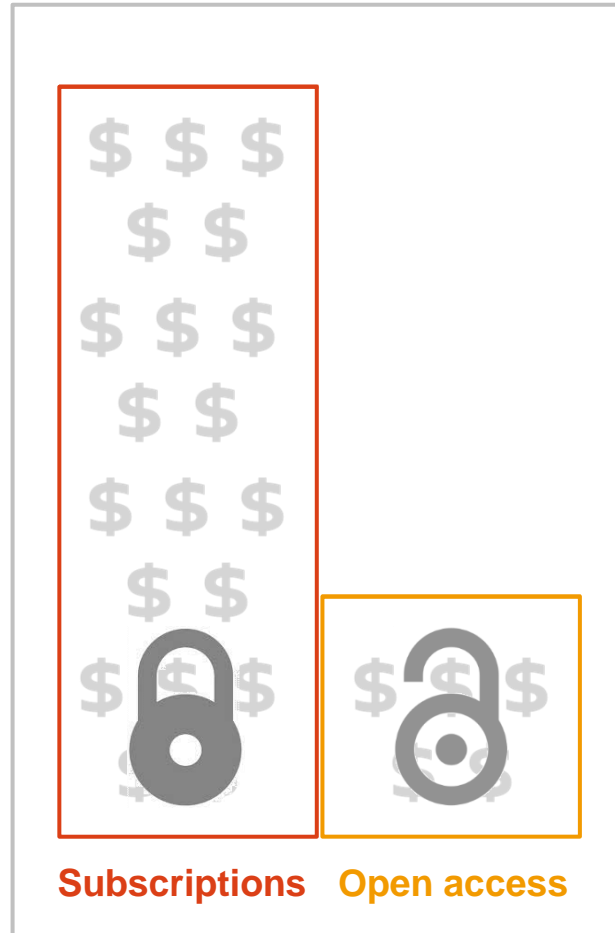
Open access

Publisher

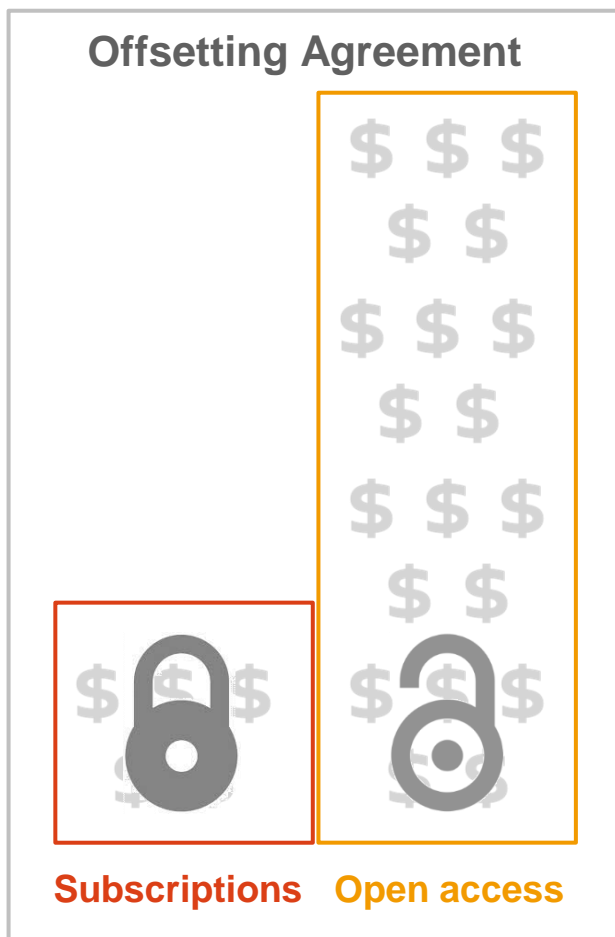
- Provides read access
- Publishes individual papers open access

Two independent revenue streams:
open access comes as an added cost (“double dipping”)

The two operating models are combined ...



Shifting costs

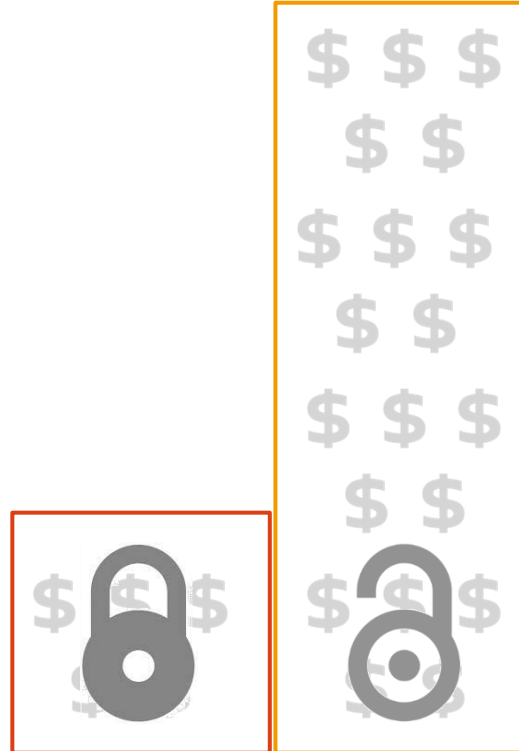


Gaining cost control and open access

Institution

- Removes financial support of the paywall
- Shifts spending to publishing
- New workflows to monitor costs

Offsetting Agreement



Subscriptions Open access

Publisher

- Stable revenue stream
- Publishes all articles from institution open access
- Continues to provide reading access

A transitional framework with incentives for institutions and publishers to shift costs and operating modes

The next phase in our licensing strategies

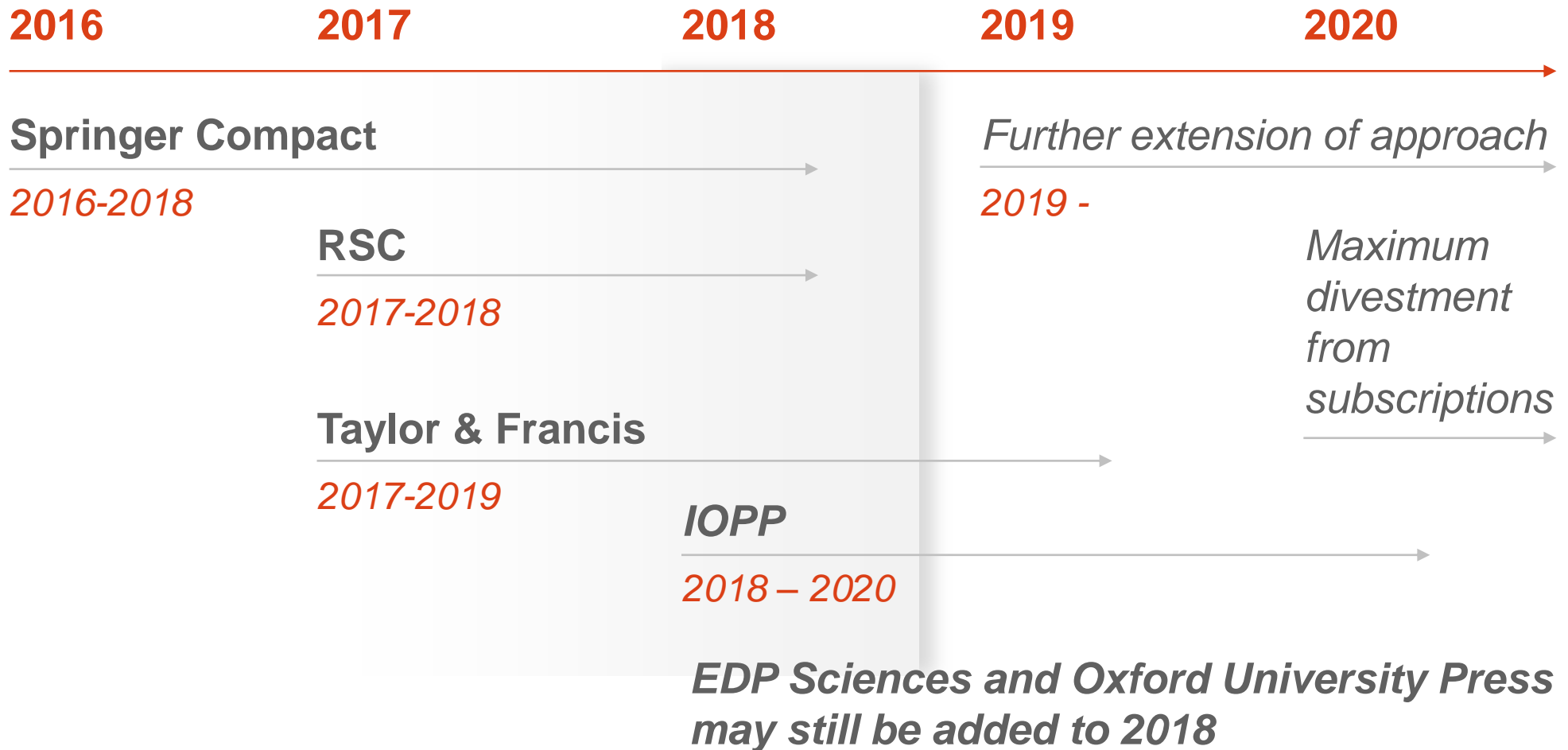
The addition of Open Access rights to our license agreements is merely the next stage in the evolution of our licensing activities.

Open Access is the new additional content that we need to target.

5. Roadmap for the Max Planck Society

Roadmap for the Max Planck Society

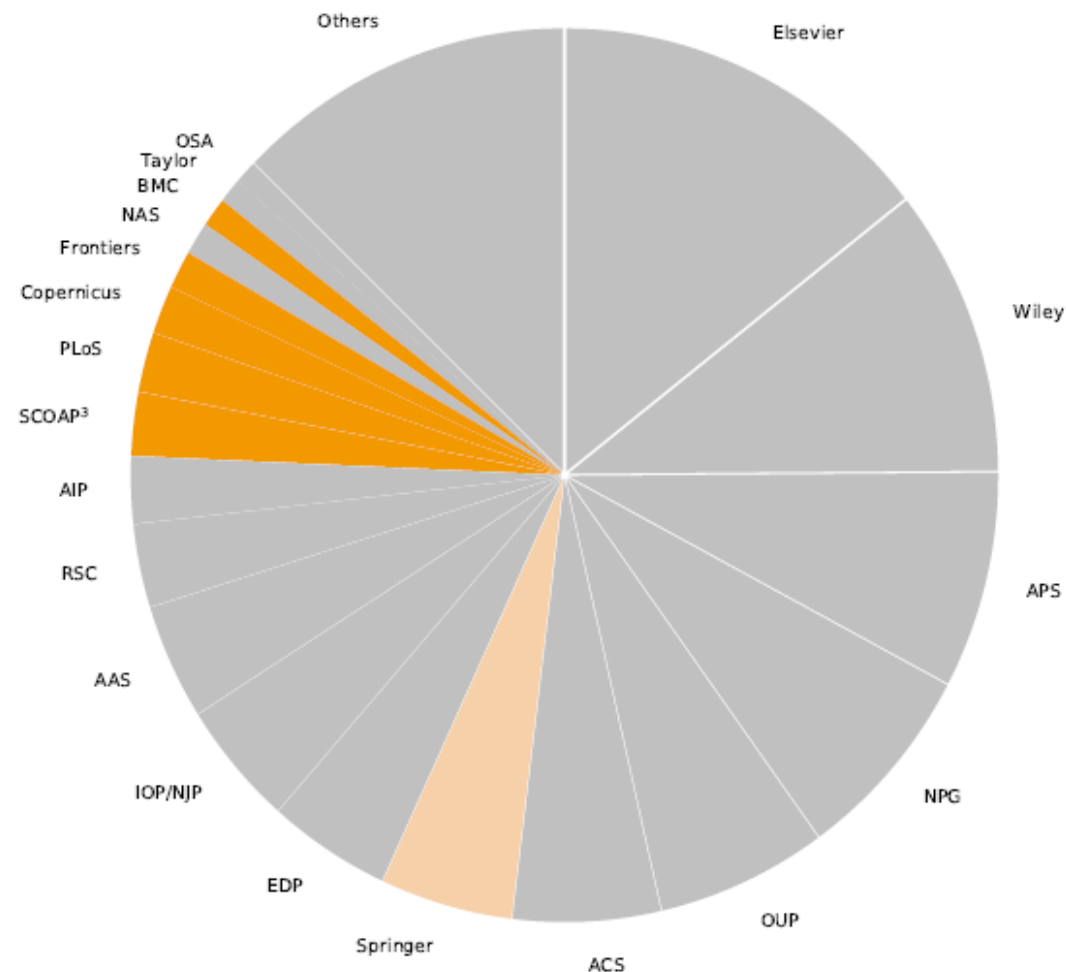
Working on offsetting or otherwise transformative agreements with publishers



Publisher distribution of Max Planck Society papers

MPG publications by provider / OA Gold

articles and reviews in Web of Science **2016**

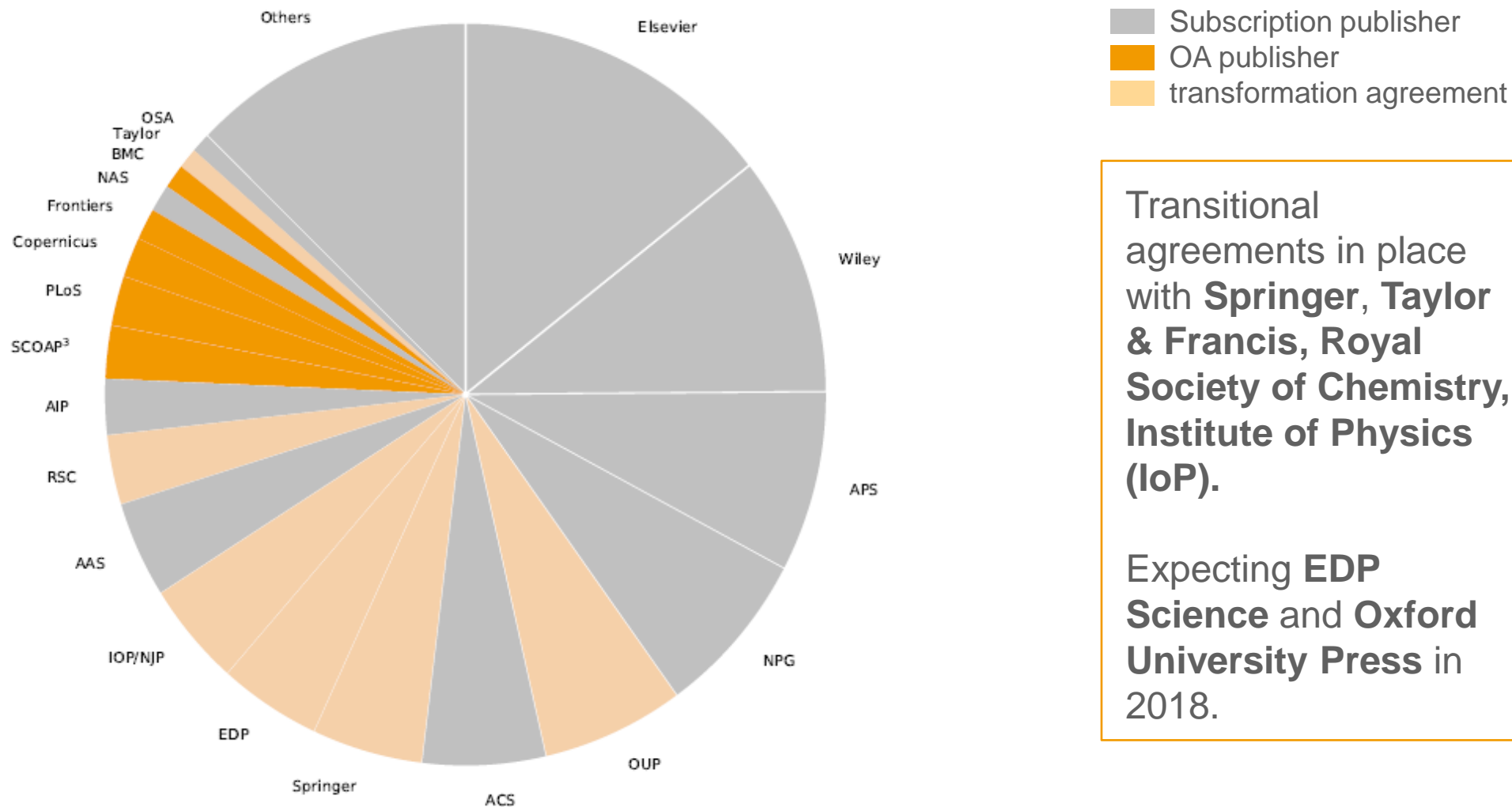


More than 80% of the total article output of the Max Planck Society is published in journals from **20 key publishers.**

5 out of the 20 publishers are already pure OA publishers.

Goal is to engage all key publishers in transitional, transformative agreements by 2020.

Transitional agreements achieved so far **2018**

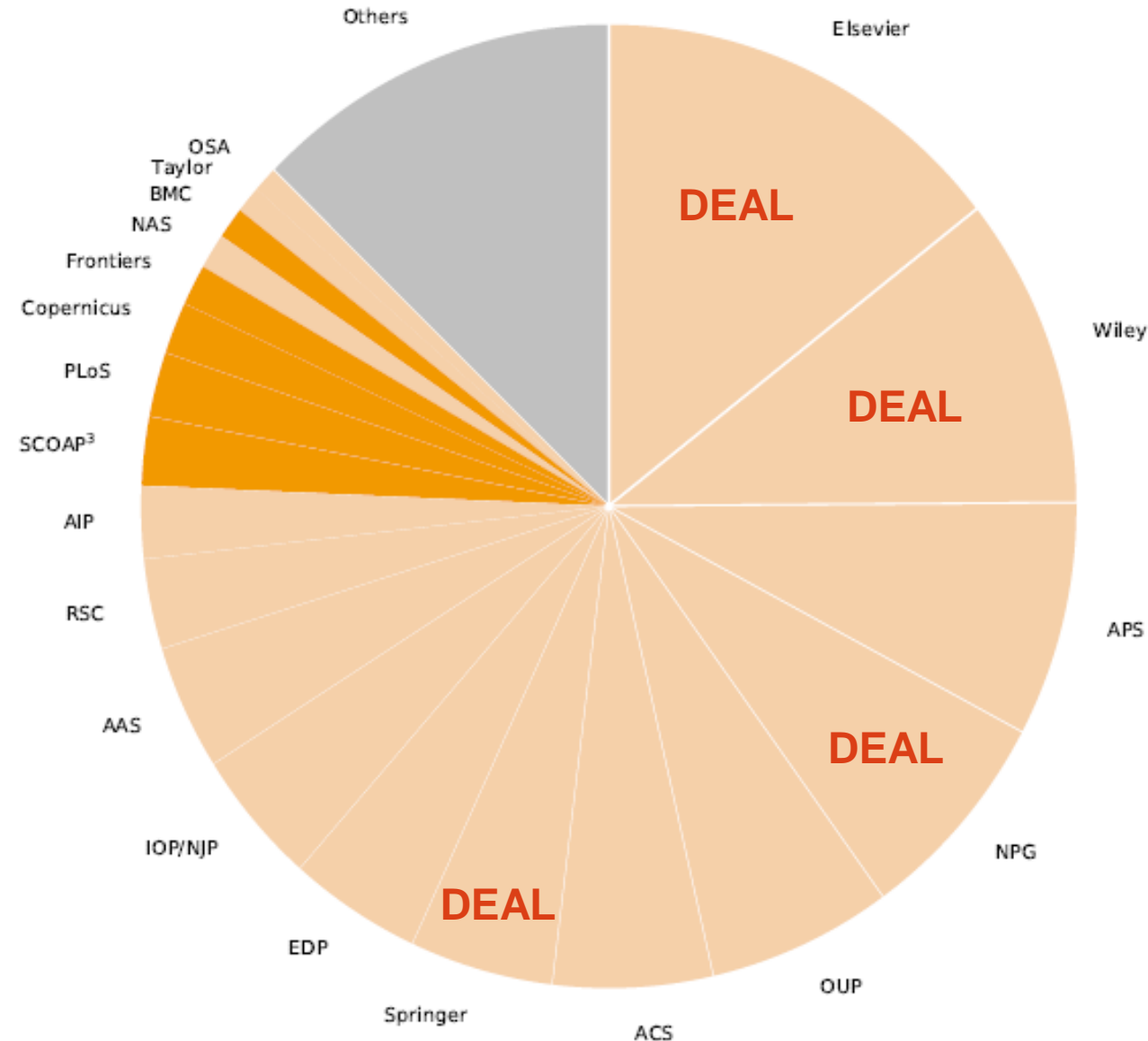


Transitional agreements in place with **Springer, Taylor & Francis, Royal Society of Chemistry, Institute of Physics (IoP).**

Expecting **EDP Science** and **Oxford University Press** in 2018.



Even greater leverage with a national strategy



- Subscription publisher
- OA publisher
- transformation agreement

Our goal is that **by 2020** none of our **20 key publishers** continues to operate on a regular subscription scheme.

We work in synergy with national **DEAL** negotiations in Germany to achieve this goal.

Creating a binary choice for publishers

The instrument for our approach in negotiating with publishers is to analyze the relevant publishing and subscription data and to discuss ***two options:***

to engage in a transformative arrangement (e.g. offsetting) with open a rights based on fair conditions

or

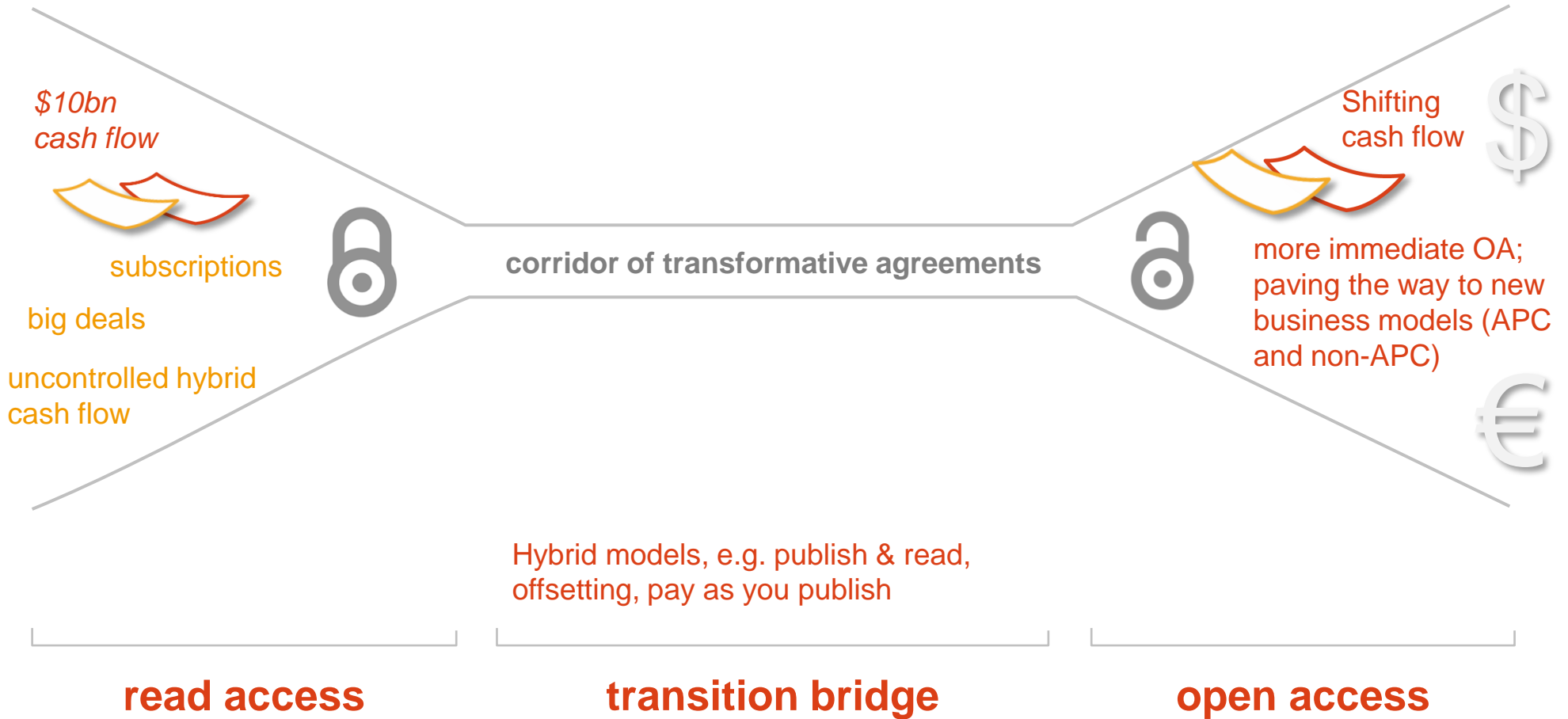
we pull the plug and discontinue our subscriptions altogether (completely or reduced to only a bare minimum)

6. The power of collective action

The OA transformation and its mission

Where we come from

Where we want to go

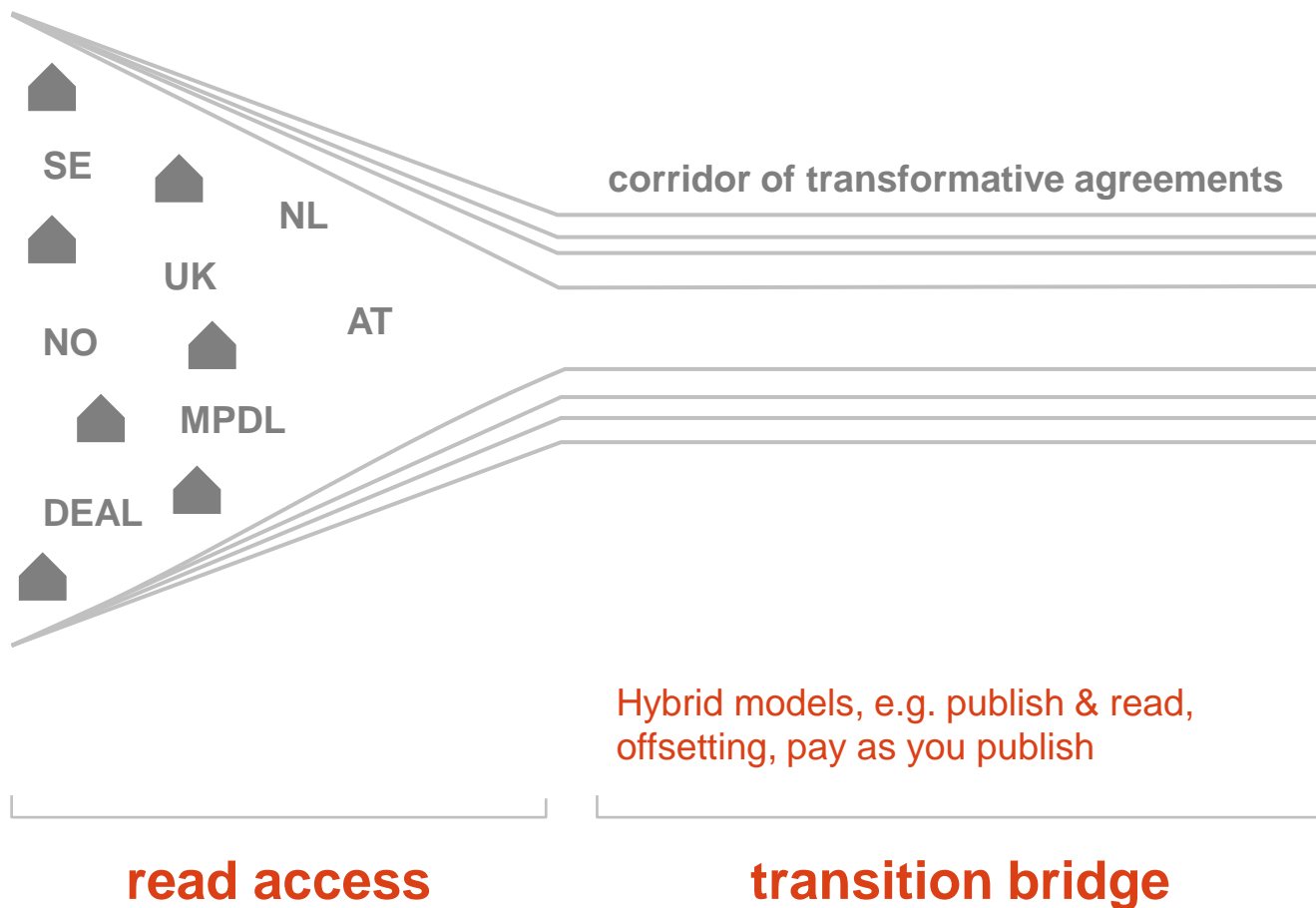


The transformation corridor must be widened! More countries and institutions have to get involved!

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Where we come from



Where we want to go

Transformative agreements are complex, complicated and not without risk. We must avoid that those who move forward with pilots get caught in the act.

Hence it is essential that others will follow.

Don't watch and act as bystanders.

Get involved!



Support, documentation, transparency

Consensus building

White Paper
OA2020 EoI

Capacity building

Data analytics
OA2020 local roadmaps
OA2020 workshops
OA2020 NCP network

Activity building

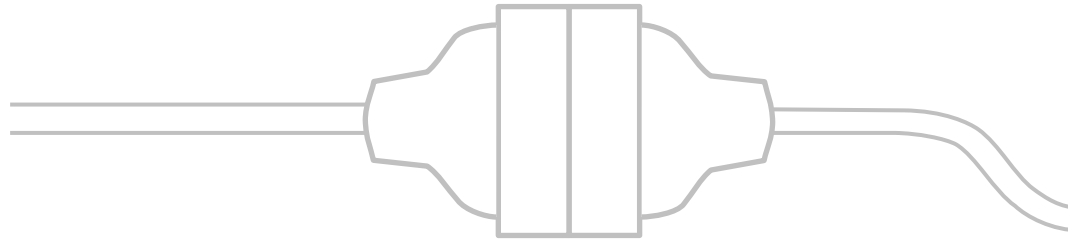
Corridor of transformative agreements

ESAC initiative
Recommendations for offsetting agreements
OA2020 transformation barometer
Open APC initiative

OA2020: a network for concerted action

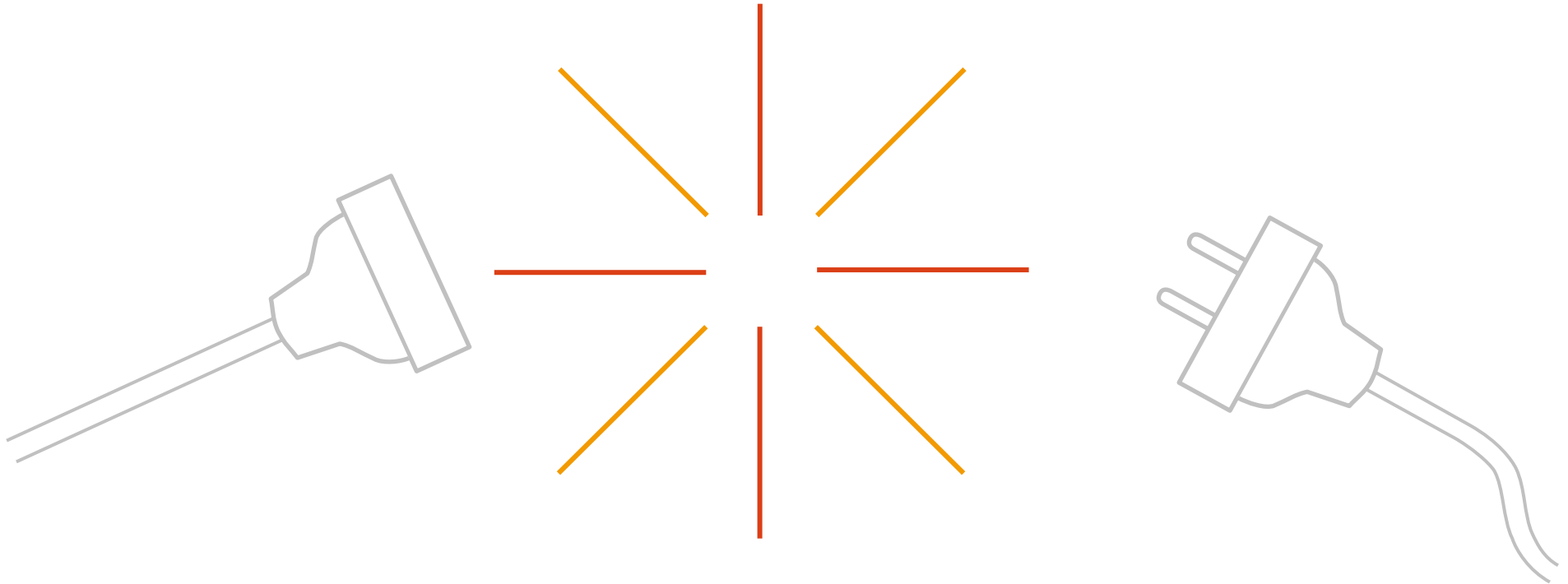


Time to unplug the paywall system



In order to foster the development of innovative services that are wanted and needed in the 21st century, we must **abandon the subscription system.**

Time to unplug the paywall system



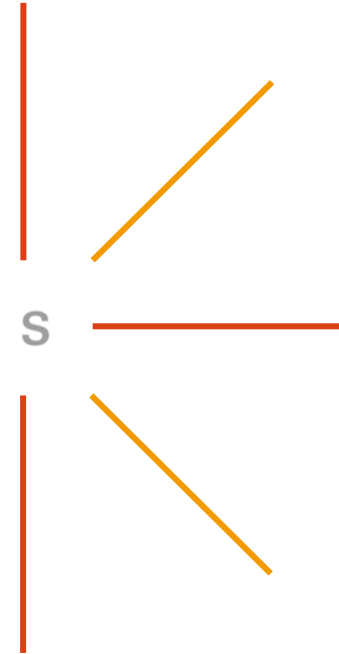
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Time to unplug the paywall system

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o p e n a c c e s s



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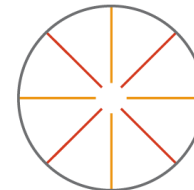


Thank you!

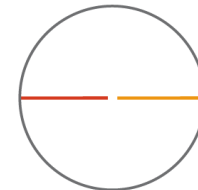
Dr Ralf Schimmer
Max Planck Digital Library

schimmer@mpdl.mpg.de

<https://oa2020.org>
[@oa2020ini](https://twitter.com/oa2020ini)



Endorse
OA 2020



Keep me
Informed