



DEAL

Getting the best DEAL for science (in Germany)

APCs, Open Science culture, and
successful Open Access Models

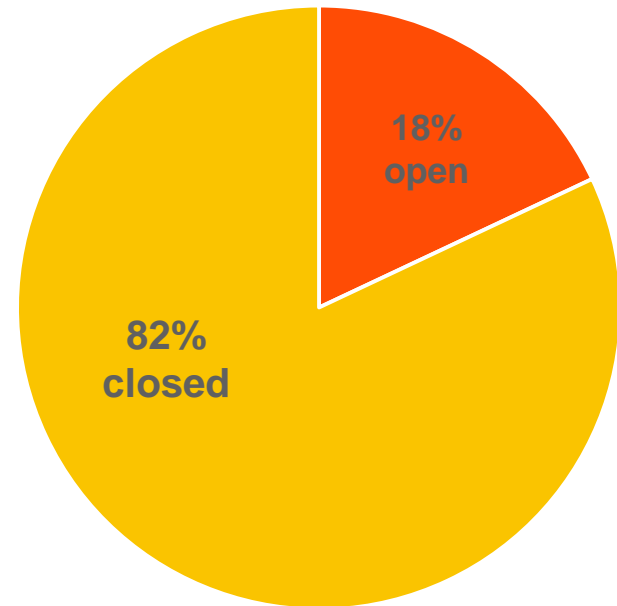
Prof. Dr. Gerard Meijer
Director and Scientific Member, Fritz Haber Institute
Max Planck Society

Current scenario in scholarly publishing



Global publisher market shares 2014 – 2018
Original articles and reviews indexed in the Web of Science

**Global annual subscription spend
= 7.6 Bn Euro (9 Bn
USD)**



github.com/subugoe/oa2020cadata

Data Sources: Web of Science in-house database Competence Centre for Bibliometrics for German Science.
Publisher names were disambiguated using Crossref metadata. OA status obtained from the Bielefeld GOLD OA list.
Funding: Federal Ministry of Education and Research of Germany (BMBF), Project OAUNI (01PU17023A)

Financial implications of the current scenario



Lack of price transparency; *divide et impera* by the publishers

The same publishers negotiate subscription agreements with many different customers and demand non-disclosure clauses; individual pricing is kept secret.

No market pressure to control pricing

Subscriptions paid in lump sums for “Big Deals” and prices are largely based on historical expenditure of print subscriptions and differ for each customer--the only commonality is the approximately 5% annual price increase.

Duplicate revenue stream of ‘hybrid’ publishing

Publishers offer the opportunity to publish articles open access in subscription journals for a fee -> “double dipping”.

Publishers hold - and *cash in on* - the copyright to all articles

Elsevier sued SciHub in 2017 and was awarded \$15M in damages for 100 articles -> copyrights are (apparently) worth \$150.000 / article.

Scholarly publishing market in South Africa

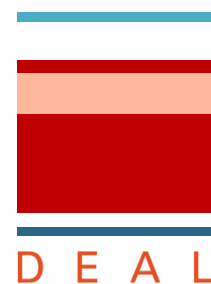


Articles by authors affiliated with institutions in South Africa indexed in Web of Science



Source: <https://github.com/subugoe/oa2020cadata/> • Click to view Fully OA and Hybrid/Closed journal shares, and the coverage of TAs. Hover to see lower values.
Last updated: 19-10-2021

14th Berlin Open Access Conference & Pre-conference meeting, December 2018



To break the *divide et impera* of the publishers:
Alignment of teams of negotiators from around the globe

- exchanging experiences concerning the negotiations with, in particular:
 - Elsevier
 - SpringerNature
 - Wiley
 - ACS, RSC, Taylor & Francis, etc.
- exchanging standpoints from various countries on open access policies
- exchanging experiences concerning cancellation decisions and best practices in post-cancellation situations

And many more (virtual) meetings with an ever larger number of teams of negotiators since then....

2020

ALIGNING STRATEGIES TO ENABLE OPEN ACCESS

14th Berlin Open Access Conference
4 December 2018 | Harnack House | Berlin



Publisher

China

Univ. California

Science
Europe

Japan

South-
Africa

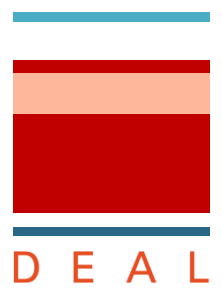
Netherlands

Sweden

Eur. Univ.
Association



Why should “a researcher” pay to get published?



Dissemination of scientific results of a research project is an integral part of that research project

Scientific publications should be freely accessible and re-usable for all readers

→ Publishing research results Open Access should become a standard rule in *the guidelines for good scientific practice*

Researchers write scientific articles for impact and not for money, i.e. it is like “advertising” their work to the most suited audience

Publishing scientific results does cost money

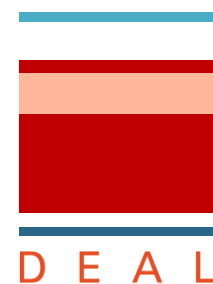
→ The costs of scientific publications should be carried by the research funders

Transformative agreements

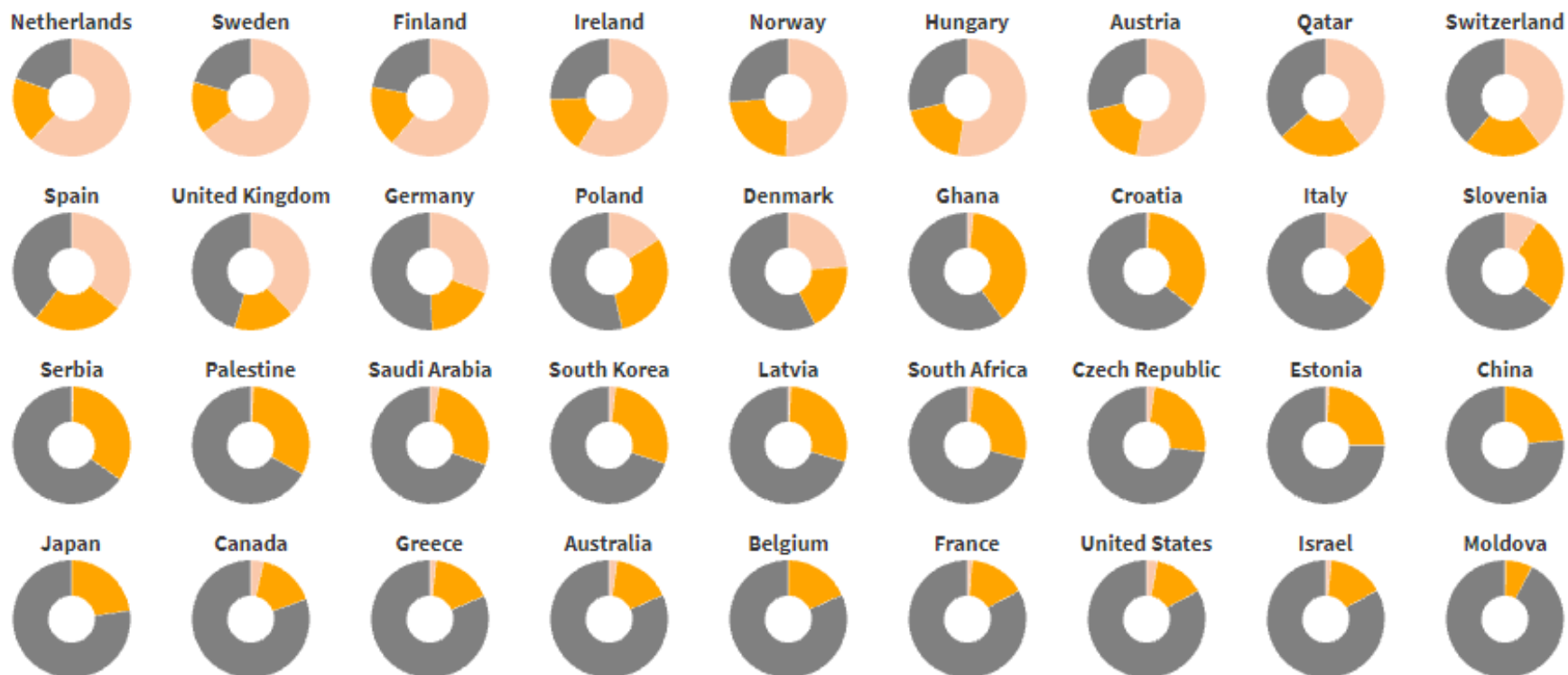
- Transformative agreements are centrally negotiated agreements with scholarly publishers in which **former subscription payments are repurposed to cover open access publishing** of the research articles by an institution's or country's authors.
- They provide a **practical and immediately viable** framework to **disinvest from the subscription paywall** system.
- They take the first, essential step in **breaking up the lump-sum, lock-in of subscriptions** so that our **money can follow researchers** where they choose to publish.

<https://esac-initiative.org/transformative-agreements-enable-oa-transition/>

Transformative agreements enabling open access



Transformative agreement Fully OA journal Hybrid/Closed



Source: <https://github.com/subugoe/oa2020cadata/>, ESAC Transformative Agreement Registry
Last updated: 19-10-2021

<https://esac-initiative.org/market-watch/>

DEAL (*DEutsche Allianz Lizenzen*) objectives



The Alliance of Science Organizations in Germany established DEAL to negotiate with scholarly publishers whose journals are most frequented by German scholars. In this way, all institutions can benefit, collectively and equitably, from the cost-effectiveness and impact of the national-level negotiations:

- Give all scholars in Germany the opportunity to publish the results of their research openly, keeping the copyrights (CC-BY), securing the right to freely share, use and re-use their peer-reviewed articles so that researchers everywhere can learn from and build on their findings,
- Grant all learners in Germany equal and permanent access to complete portfolios of high quality scholarly journal content to expand the collective knowledge capacity; and, to achieve these goals,
- Institute a fair, reasonable, and future-oriented cost model to restructure the inequitable financial streams of the subscription system around open dissemination of research.

Impact of the DEAL aggregated approach

- Administrators rein in and rationalize investments while elevating the research profile and capacity of their institutions.
- Authors are entitled to publish their research articles immediately open access—without having to pay open access publishing fees—in hundreds of high quality journals that would, otherwise, withhold the articles behind subscription paywalls.
- Researchers and students from German institutions, large and small, gain access to complete portfolios of high quality scholarly journals in perpetuity.
- Librarians are provided with a viable and sustainable framework to re-engineer their workflows and budget streams to respond to the expectations of researchers and learners in the digital age.

DEAL-Wiley Agreement



Wiley Agreement (2019-2022 +2023)

- Usage of scholarly content increased by over 40% since access to the full portfolio was opened up for DEAL institutions*
- 10,039 publications were published in 2020 through the DEAL agreement in Wiley's hybrid journals,
- 881 articles appeared in Wiley's fully open access journals.
- Authors from 316 different German scientific institutions were involved in these publications
- Authors retaining their rights: 97% of authors took up the opportunity enabled through the DEAL agreements, opting to retain copyright of their research articles and publish them under an open license (open access) in Wiley's hybrid journals.

DEAL-Wiley Agreement



Springer-Nature Agreement 2020-2022 (option for one year extension)

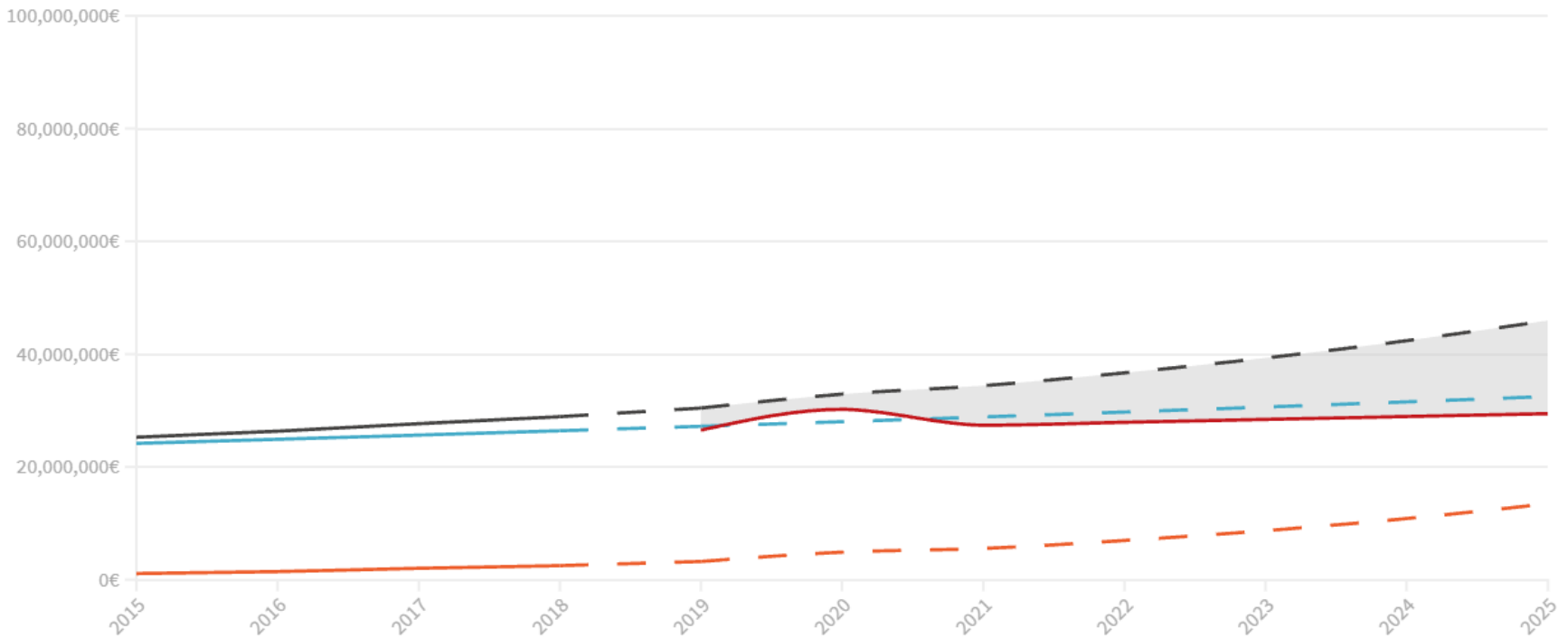
- Usage of scholarly content increased by over 40% since access to the full portfolio was opened up for DEAL institutions*
- 10,236 publications were published in 2020 through the DEAL agreement in Springer Nature's hybrid journals.
- 1,843 articles appeared in Springer Nature's fully open access journals
- Authors from 390 different German scientific institutions were involved in these publications
- Authors retaining their rights: 96% of authors took up the opportunity enabled through the DEAL agreements, opting to retain copyright of their research articles and publish them under an open license (open access) in Springer Nature's hybrid journals.

Modeling the financial impact of DEAL - Wiley



Status quo (subscription-based system) ▼

● Subscription fees ● APC expenditure ● Total expenditure ● DEAL

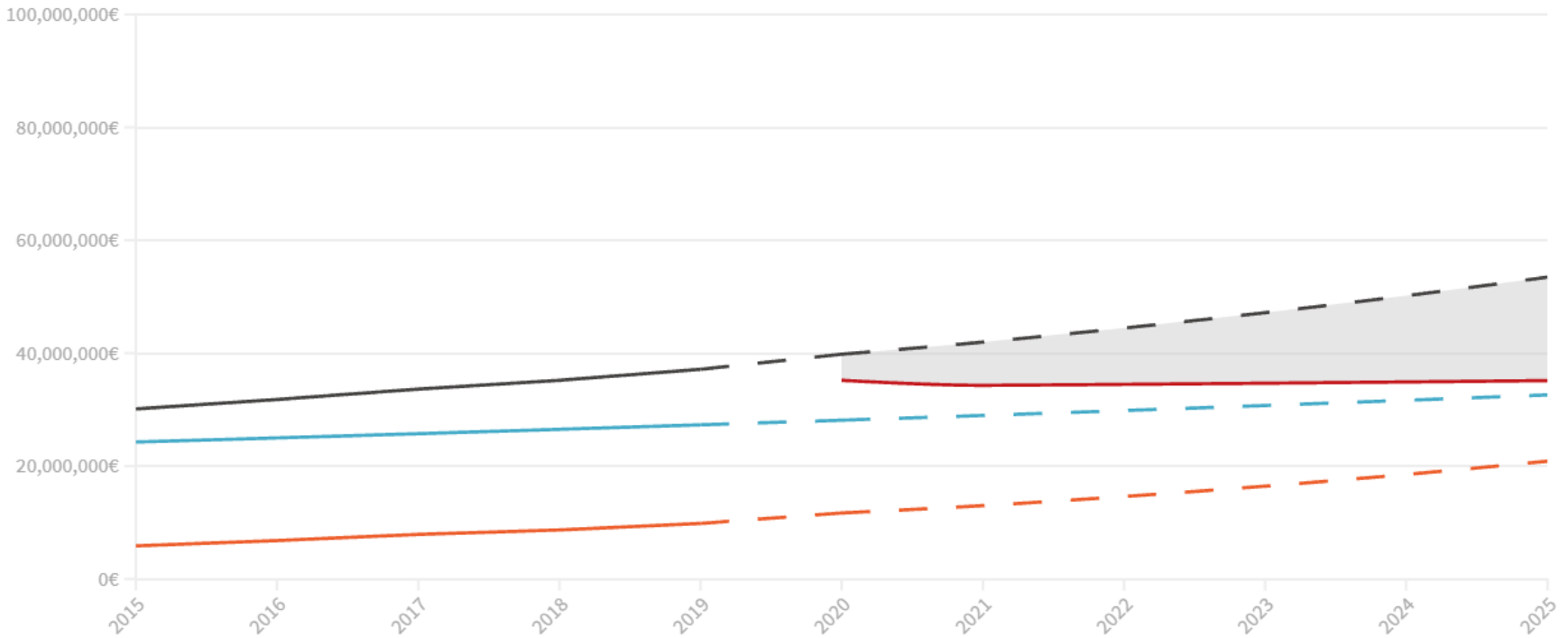


Modeling the financial impact of DEAL - SN



Status quo (subscription-based system) ▼

● Subscription fees ● APC expenditure ● Total expenditure ● DEAL



Thank you

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