



Open Access in Europe

What the European Commission does and why, Open Access Offsetting Deals in the Netherlands, DEAL in Germany and A Demonstrated Model for Fair Open Access with the Open Library of Humanities

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RÉSEAU NATIONAL
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Open Access in Europe

1. The European Commission
2. Open Access Offsetting Deals in NL
3. DEAL in Germany
4. Comparing publishing models
5. Linguistics in Open Access and the *Open Library of Humanities*
6. General features of the flipping model
7. Extending the model to other disciplines





Open Access Publishing Policies in Europe: what the European Commission does and why.

**COASP 2017
9th Conference on Open Access Scholarly Publishing
Lisboa 20-21 september 2017**

**Jean-Claude Burgelman, Head of Unit
Daniel Spichtinger, Senior Policy Officer**

**Open data and Science Cloud
DG RTD**



Open Science = Systemic transition of science system which affects the way

- research is performed
- knowledge is shared/diffused/preserved
- research projects/results are evaluated
- research is funded
- researchers are rewarded
- future researchers are trained

Affecting the whole research cycle and all its stakeholders

A typical techno-economic paradigm shift a la Perez (tech, market and institutional change go hand in hand)

or to put it different disruptive and hence disturbing....



2016 - Holistic Policy Agenda: scope & ambitions

- ... 4 with regard to the use & management of research results and data
- ✓ Open Data: FAIR data sharing is the default for funding scientific research
- ✓ Science cloud: All EU researchers are able to deposit, access and analyse European scientific data through the open science cloud, without leaving their desk
- ✓ Altmetrics: Alternative metrics to complement conventional indicators for research quality and impact (e.g. Journal Impact Factors and citations)
- ✓ Future of scholarly communication: All peer reviewed scientific publications are freely accessible

... 4 with regard to relations with research actors
(researchers, institutions and funders)

- ✓ Rewards: The European research career evaluation system fully acknowledges Open Science activities
- ✓ Research Integrity: All publicly funded research in the EU adheres to commonly agreed Open Science Standards of Research Integrity
- ✓ Education and skills: All young scientists in Europe have the necessary skills and support to apply Open Science research routines and practices
- ✓ Citizen Science: CS significantly contribute and are recognised as valid knowledge producers of European science



Open Access (OA): a key component of open science

Traditionally, two main OA models (for publications)

- **Self-archiving:** deposit of manuscripts & immediate/delayed OA provided by author ("Green OA")
- **OA publishing: immediate OA** provided by publisher ("Gold OA"), e.g. 'author-pay' model (APC)

What OA is NOT

- Not an obligation to publish
- Not at odds with patenting
- OA publications go through same peer review process as non OA publications



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From FP7 to H2020: OA to publications

- Obligation to provide OA, either through the Green or Gold way in all areas (deposition mandatory either way)
- Allowed embargoes: 6/12m
- Gold open access costs eligible for reimbursement as part of the project budget while the project runs & post-grant support being piloted through OpenAIRE
- Authors encouraged to retain copyright and grant licences instead



- May 2016 **Competitiveness Council Conclusions:** full open access to scientific publications by 2020 – commitment of the EU for all Member States!
- **Amsterdam Call for Action on Open Science** advocates for "full open access for all scientific publications",
- The **Commission wants to lead by example** in Horizon 2020:
 - Currently 60-68% of scientific publications produced are open access
 - further measures needed to achieve target

We can't debate forever



Our proposal (current state of thinking)

Towards a EC Horizon 2020
Open Research Europe Publishing Platform
ORE

What is ORE



- An online platform allowing rapid, OA publication of
 - (i) H 2020 related peer reviewed articles; and
 - (ii) H 2020 related pre-prints which meet basic criteria on authorship, non-plagiarism and ethical conduct
- contains mechanisms for open/collaborate/public peer review and a suit of innovative ('alternative') metrics
- is not a repository, it provides a fast, cost efficient and high quality service to publish in the 21st century
- is intended for Horizon 2020 beneficiaries as a free, complementary service and is thus not compulsory.



- **contributes to fulfilling the goal of 100% open access by 2020**
- **offers a "third way" for our beneficiaries to fulfil their open access obligation in Horizon 2020** (additionally to "gold" and "green") addressing criticism of our current policy where in case of gold OA grant money has to be used to pay for OA during the grant
- **operationalises Commissioner Moedas' priority of open science in Horizon 2020** by establishing a link between open access, open peer review and alternative metrics, all of which will be addressed through the platform.
- **part of a growing body of similar actions of private funders (Wellcome, Gates, Zuckerberg)** but extends and further develops them.

How to implement it



- the success of the platform depends on the *quality* of the scientific publication service provided.
- Although it has an office for publications, the Commission itself is not a *scientific* publisher (e.g. no experience with peer review, no reputation in the community)
- a service on par with the highest quality standards of scientific publishing can only be provided by outsourcing the implementation of the platform through a fully transparent public procurement process.



March 2017 – CssR Moedas informally discussed the idea with the Open Science Policy Platform (stakeholders)

May 2017 - CssR Moedas introduced the idea in the Compet Council

Ongoing - Implementation of ORE through a call for a public procurement in the WP 2018:

Call for tender open in November 2017

Applications until early 2018

Contract signature during 2018

Is OA of articles the final frontier?



- Due to the power of cyber science tools, it is quite realistically to assume that we will evolve from peer reviewed open access publications
to peer reviewed open access research workflows
(1-5-2017, Naure, tech blog Ttitus Brown....)
- Implying that scientific publishers become open science platforms in which an article is 1 of the many products (and not even per se)

Open Access Offsetting Deals in the Netherlands

Report by OpenAIRE on behalf of the European Commission, 'Towards a Competitive and Sustainable OA Market in Europe':

Four paths for open access to scientific research:

1. Green open-access archiving: usually an author's accepted manuscript, sometimes with an embargo, within an institutional or subject repository
2. Hybrid gold open access: peer-reviewed articles inside subscription/toll-access journals are made immediately open access, by the publisher, often upon payment of an APC. This can be achieved either directly or through an offsetting arrangement (a kind of “big deal” for open access)
3. Gold open access via APCs: fully open-access journals that require a payment from an author, institution, or funder
4. Gold open access without APCs: fully open-access journals that require no payment and have alternative business models in place (sometimes also called: “platinum OA”).

Open Access Offsetting Deals in the NL

Report by OpenAIRE on behalf of the European Commission, 'Towards a Competitive and Sustainable OA Market in Europe':

Four different types of OA offsetting arrangements that have been put into place:

1. A local **reduction** from a subscriber's fees of the total amount of all APC revenue from the previous year
2. A **cap**, whereby subscriptions are maintained, but subscribing organizations pay no extra to have all their own outputs made openly available
3. An **APC discount**, sometimes of up to 95% of the standard APC, for authors at subscribing institutions
4. A **voucher system** equivalent to a subscription spend to be used on APCs.

Open Access Offsetting Deals in the NL

September 2015, request to the VSNU (Dutch Association of Universities) to collate data on the costs incurred per-university, per-publisher using the **Government Information (Public Access) Act**:

- asked for “provision of a copy of the open access licenses purchased by your institution in the past year from various publishers such as Elsevier, Springer, Wiley, Taylor & Francis, ACS, SageKarger, Thieme, Walter de Gruyter, RSC, Emerald and any comparable licenses
- with the essential understanding that the institution shall pay a previously-established fee to the publisher, in exchange for which the publisher will publish accepted academic articles by authors affiliated with your institution open access in licensed journals”.
- this request revealed a large variance in spending, with the largest share going to Wiley at €3,818,000, with Taylor and Francis a close second at €2,318,584.

‘Public Access Request’, *VSNU*, 2016 <http://www.vsnu.nl/en_GB/public-access-request> [accessed 10 April 2017].

Recent offsetting deals in the Netherlands

Overview of the major contract points with publishers based on the Public Access request

	ACS	Sage	T&F	Wiley	Emerald	Karger	OVID	RSC	Thieme	Walter de Gruyter
Contract as of	1-1-2017	1-1-2015	1-1-2016	1-1-2016	1-1-2016	1-1-2016	1-1-2014	1-1-2016	1-1-2016	1-1-2016
Contract until	31-12-2021	31-12-2016	31-12-2017	31-12-2019	31-12-2018	31-12-2018	31-12-2016	31-12-2016	31-12-2018	31-12-2018
OA is integral part of licensing contract	Yes, 100%	Approx. 20%	100% on all hybrid titles	100% on all hybrid titles	2016: 15 vouchers 2017: 30 vouchers 2018: 45 vouchers	100% on all hybrid journals and fully OA journals	100% on all hybrid journals	157 vouchers	25% discount on hybrid journals	90% discount on APC for hybrid journals
Basic contract expenses¹	\$ 822,423	£ 748.322	€ 2,318,584	€ 3,818,000	€ 193,199	€ 330,845	€ 756,000	£ 235,331	€ 50,232	€ 158,699
Price increase² 2015 licensing contract	NA	7.5%	NA	NA	NA	NA	NA	NA	NA	NA
Price increase 2016 licensing contract	NA	2.7%	3%	3.5%	NA	22.6%	NA	22.8%	2.0%	5%
Price increase 2017 licensing contract	3%	NA	3%	3.5%	3%	0%	7.16%	NA	0.4%	5%
Price increase 2018 licensing contract	3%	NA	NA	3.5%	3%	6.1%	3.0%	NA	CPI min 0% max 5%	TBD

¹ Amounts are exclusive of VAT

² As compared to the previous year (also applies to the other price increases)

Open Access Offsetting Deals in the NL

the deal struck in more recent days **between Elsevier and Dutch Universities.**

- Hindered by severe restrictions only Dutch corresponding authors from the combined institutions are eligible to publish in a very select set of journals in the Elsevier collection: 10% in 2017, 20% in 2018, 30% in 2019
- Simultaneously Elsevier raises its collective fees in 2017 and 2018, with 2.5% and 2.0% respectively from the level of €11,697,147.68 in 2016.
- One of the primary concerns about such setups is that they also perpetuate lock-in. That is, because the libraries have already agreed to pay this group of publishers, it becomes difficult for new actors to mount any substantial market challenge.

DEAL in Germany:

Nationwide licensing of offers from large scientific publishers



Project aim

The goal of Project DEAL is to conclude **nationwide licensing agreements** for the entire portfolio of electronic journals (E-journals) from major academic publishers from the 2017 licence year. The intention is also to bring about **significant change** to the status quo in relation to negotiations, **content** and **pricing** in the process. The effects of a consortium agreement at the national level should relieve the financial burden on individual institutions and bring wide-scale, lasting improvements in access to scholarly literature for academics. An open access component is also planned.

DEAL in Germany:

Nationwide licensing of offers from large scientific publishers



A consortium of all German research organisations is locked in hostile and so far unsuccessful contract negotiations with Elsevier, demanding full open access for German-authored papers and a model in which they pay per article published, not a flat journal subscription fee.

Part of their strategy is to demonstrate that German academics can operate without Elsevier subscriptions, and an increasing number of institutions have said they will not renew their contracts at the end of the year

More than 200 in October 2017 !

DEAL in Germany:

Nationwide licensing of offers from large scientific publishers



Renowned scientists resign from editorial activities for Elsevier and support the aims of project DEAL:

Prof. Dr.-Ing. Wolfgang Marquardt (Forschungszentrum Jülich)

Prof. Dr. Kurt Mehlhorn (Max-Planck-Institut für Informatik, Saarbrücken)

Prof. Dr.-Ing. Jörg Raisch (Fachgebiet Regelungssysteme, TU Berlin)

Prof. Dr. Marino Zerial (Max-Planck-Institut für molekulare Zellbiologie und Genetik, Dresden)

Prof. Dr. Anton Möslang (Institut für angewandte Materialien, KIT)

"Sharper" debate



A screenshot of a web browser displaying the website 'No deal, no review'. The browser's address bar shows the URL 'http://www.nodealnoreview.org'. The website has a white header with the title 'No deal, no review' and a navigation menu with links for STATEMENT, SIGN, FAQ, REQUESTS, NEWS, BLOG, and CONTACT. Below the header is a large dark banner with a stone wall background. The banner contains the text 'NO TO ELSEVIER'S UNFAIR DEALS' in large white letters, followed by a paragraph of text and a yellow button labeled 'CONFIRM/JOIN THE BOYCOTT'. At the bottom of the page, the word 'STATEMENT' is centered. The browser's taskbar at the bottom shows the Windows logo, several application icons, and the system tray with the date '20/06/2017' and time '13:15'.

No deal, no review

#nodealnoreview

STATEMENT SIGN FAQ REQUESTS NEWS BLOG CONTACT

NO TO ELSEVIER'S UNFAIR DEALS

Since November 2016, more than 2700 members of the academic community in Finland have signed tiedonhinta.fi online petition which called for fair pricing for academic journal subscriptions and increased open access in the ongoing negotiation with international publishers. More than two thirds of those who signed the petition were prepared to abstain from editorial and reviewer duties in journals whose publishers are unwilling to meet the demands of the Finnish negotiators. It's time to stand by that commitment: no deal, no editing and reviews.

CONFIRM/JOIN THE BOYCOTT

STATEMENT



Fair Open Access Model

* A **bottom-up business model** for the transition to Fair Open Access that involves **editors of existing journals** and **libraries** in the process

* A **strong incentive** for commercial publishers to **accept terms** that are more favorable for academia in the ongoing negotiations for **OA offsetting big deals**



Fair Open Access | Comparing publishing models



Classical Journal Publishing Model (CJPM)

Publisher-centric

The ***publisher*** calls the shots

- Publishers own the journal titles and the copyright of the articles
- Publishers set pricing and conditions, determine the marketing
- Publishers control editorial assistance, workflow, copy-editing, storage, and indexing

Dualistic

Publishers vs. Researchers & Libraries

User pays

Researchers pay for access to journal articles

Subscription based

University libraries pay increasingly unaffordable yearly subscriptions to the publisher

Fair Open Access Publishing Model (FOAPM)

Researcher-centric

Researchers call the shots

- Researchers author, review, and edit articles
- Editors own the journal titles, and use Publication Services Providers (PSPs) to make articles available online at low cost
- Researchers own copyright
- University libraries provide editorial assistance, storage, publication fees

Pluralistic

Researchers, university libraries and Publication Services Providers (PSPs) collaborate

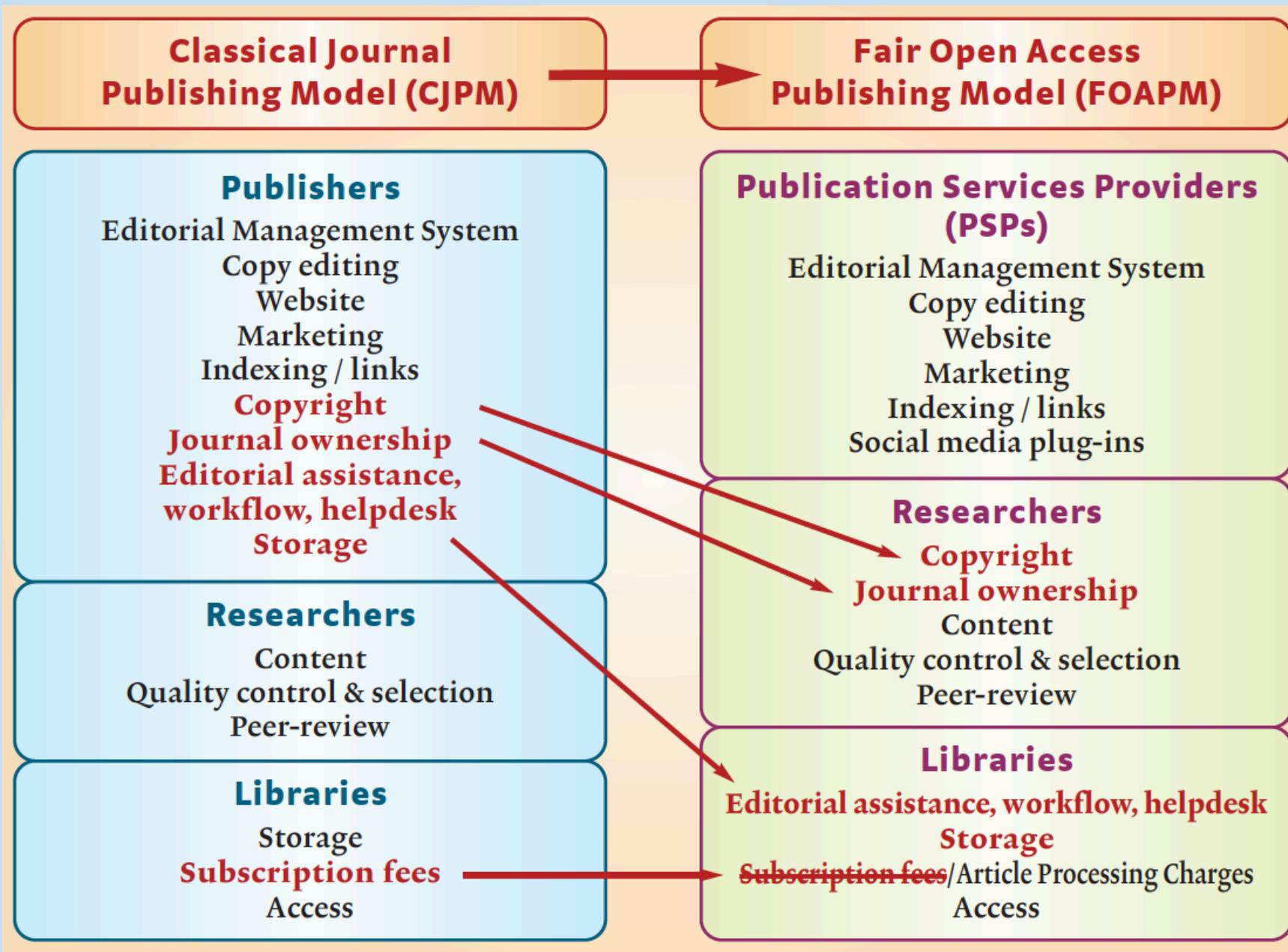
Producer pays

Editors/university libraries pay for Article Processing Charges (APCs) with public money

Production cost based

University libraries pay for the real production costs of online publishing

Fair Open Access | Comparing publishing models





The conditions of Fair Open Access

Publishers are asked to comply with the following:

1. The **title** of the journal is owned by the editorial board or by a learned society.
2. **Authors retain copyright** and a CC-BY license applies.
3. **Authors do not pay for APCs.** APCs are paid by funding agencies and library consortia such as the Open Library of Humanities (OLH)
4. All articles are published in **Full Open Access** (no subscriptions, no 'double dipping')
5. Article processing charges (APCs) are **low** (< 1000 euros), **transparent**, and **in proportion** to the work of the publisher.

Fair Open Access | LingOA

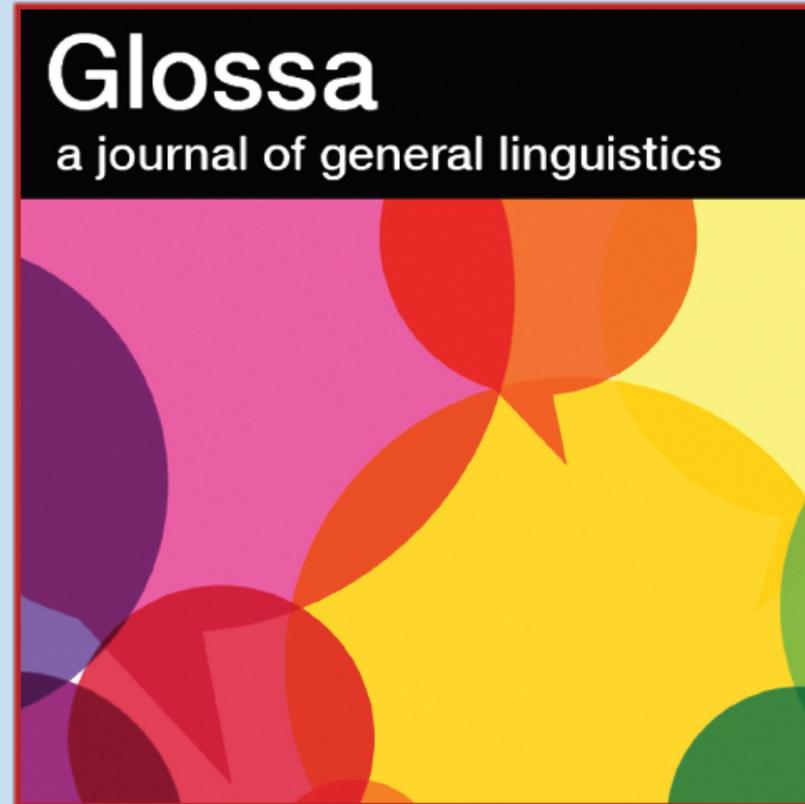
Proof of concept: flipping reputed journals in linguistics to Fair Open Access:



Fair Open Access | LingOA



Flipping reputed journals in linguistics to Open Access:



Glossa 2016: 319 articles submitted, 51 published, 54 in production...



Flipping the journals proceeds in two stages:

1. The transition (3 years)

- * The editorial board asks the publisher to comply with the conditions of Fair Open Access.
- * If the publisher refuses to comply, the entire editorial board leaves the journals to set up a new journal with a publisher who does.
- * APCs are paid for by a 3-year fund. For LingOA, the fund is financed by the *Netherlands Organization for Scientific Research* NWO and the *Association of Dutch Universities* (VSNU). Radboud University Library provides a journal manager for the 4 journals.

2. The final stage (after 3 years)

- * Journals have re-established their Impact Factor and indices
- * APCs are paid by the **consortium of libraries** participating in the *Open Library of Humanities* (OLH) ensuring long-term sustainability



- * A non-profit, academic-led open access publisher for the humanities and social sciences
- * Promotes flipping existing subscription journals to Open Access
- * A library consortium model:
 - Participating libraries pay an annual membership fee (€500 - €1500) that pays for all APCs of OLH-associated journals
 - Libraries vote on which journals to admit to OLH
 - Over 220 libraries participate, including Harvard, Princeton, Yale, Carnegie Mellon, UCL, Cambridge, UCL etc
- * Subscribes to Fair Open Access principles and is willing to work with any publishers who also do so.
- * Provides a long-term sustainable solution for flipping existing journals from subscription to Fair Open Access, enabling libraries to redirect funds from subscriptions to APCs.



1. Discipline-based

- * Within each academic discipline, a foundation is set up that helps flipping established subscription journals to Fair Open Access
- * Existing networks within the discipline are exploited to influence editors to flip their journal to FOA.

2. No author-facing Article Processing Charges (APCs)

- * The foundation pays for APCs during the transition period
- * it also covers legal advice costs associated with flipping the journals

3. Long-term sustainability

- * After the transition period, journals join a worldwide library consortium such as the one provided by the Open Library of Humanities.
- * The worldwide library consortium durably pays for APCs.
- * Library funds are redirected from subscriptions to APCs.

Cost comparison

1 journal with 100 articles subscribed to by 400 libraries

Subscription fee € 2000 per year

Article processing charge € 1000 per article

	Subscription model	Fair OA	Fair OA
	Current model	Transition period 3 yr	Operational stage
	Subscription fee € 2000/year	Article processing charge € 1000/art	Article processing charge € 1000/art
	x 400 subscriptions	x 100 articles	x 100 articles
		OLH & management fee k€ 28	
Costs per year			
Total	€ 800.000	€ 128.000	€ 100.000
Per library	€ 2000	€ 320	€ 250
Per article	€ 8000	€ 1280	€ 1000

Fair Open Access | Extending the model



HumanOA

1. Flipping existing 'national' journals to Fair Open Access: Netherlands, Sweden, Switzerland
2. This requires transition funds from university consortia and funding agencies
3. The OLH library consortium model must be expanded in order to be able to cover more journals after the transition period
4. *Discipline*OAs must form an alliance

Fair Open Access | Extending the model

1. Two additional disciplines

MathOA



Mathematics in Open Access



PsyOA

Psychology in Open Access



In each discipline, 3 reputed journals are ready to flip

2. This requires transition funds from university consortia and funding agencies

3. The OLH library consortium model must be expanded beyond the humanities

4. *Discipline*OAs must form an alliance



FOAA

Fair Open Access Alliance

Fair Open Access | Conclusions

- * The LingOA flipping model provides a **tested roadmap for flipping** subscription journals to Fair Open Access
- * **Investment** in the funding for the transition period is **temporary**, long-term savings are substantial. Downward price pressure on APCs.
- * Library consortia on the model of the *Open Library of Humanities* enable **library funds to be redirected** from subscription to Open Access
- * Change to Fair Open Access is **bottom up**, i.e. driven by editorial boards and libraries
- * Academics face no costs for publishing or accessing research results



Fair Open Access | Addresses and links

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