Towards a paradigmatic shift in Open Access publishing models

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Dr Bonnie Bonnie Wolff-Boenisch
Head of Research Affairs
Science Europe

Members of Science Europe (January 2017)

Austria	FWF
Belgium	FWO, FNRS
Bulgaria	BAS
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Finland	AKA
France	ANR
Germany	DFG, MPG, WGL
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Ireland	HRB, IRC, SFI
Italy	CNR, INFN
Latvia	LZP
Lithuania	LMT
Luxembourg	FNR
Netherlands	NWO
Norway	RCN
Poland	NCN
Portugal	FCT
Slovakia	APVV, SAV
Slovenia	ARSS
Spain	CSIC
Sweden	FORTE, FORMAS, VR
Switzerland	SNSF
United Kingdom	AHRC, BBSRC, EPSRC, ESRC, MRC, NERC, STFC

- 43 organisations from 27 countries
- With different functions (RFO, RPO)
- Cover all or only specific research fields
- Different cultures and best practices

With a common goal to safeguard and promote "excellence" in research

Together represents:

- 75-80% of total public research funding
  Reach out of about 2 million researchers

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Basis for Science Europe (SE)

Need for

- Strong voice of academic research in Europe
- Strategic engagement with and to speak with a common voice to European Institutions and stakeholder; and national governments when required

What is Science Europe currently?

Advocacy

- Horizon 2020 2020/FP9, linked policies (e.g. open science)
- Directives and Regulations

Collaboration platform

- Coordination, exchange best practices, establish principles, “intelligent survey”
- Work on 9 priorities and ‘open access to publications’ is one of them (Research Data, Research Integrity and Research Evaluation…)

Representation

- at EU Institutions
- Global Research Council (GRC)

Supported by a

Scientific Advisory Committee (SAC)

Science Europe (SE) Work on Open Access (OA)

- From the beginning SE Roadmap contains a clear objective "to move from a subscription-based ('pay to read system')' to different business models for research publications such as pay to publish.

1. 2013 SE members adopted basic Principles' on the Transition to Open Access (OA) to Research Publications;
2. May 2015 SE members adopted Principles for OA Publisher Services
3. SE Survey Report on 'Open Access Publishing Policies in SE Member Organisations' (October 2016);
4. SE Briefing Paper on 'Open Access Business Models and Current Trends in the Open Access Publishing System' (April 2016);

1. SE Principles for the Transition to Open Access of Research Publications (selection)

- Publication and dissemination of results are an integral part of the research process.
- The allocation of resources within the research system must take this into account;
- OA as defined in the Berlin Declaration (2003)*, is not only about the right of access, but also about the opportunity to re-use information with as few restrictions as possible;
- SE requires that as part of the publication services provided against the payment of OA publication fees, that effective mechanisms are in place to ensure that the publication of research outputs is subject to rigorous quality assurance;

- *Milestone of the Open Access Movement

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2. Basic Principles for OA Publisher Services (May 2015)

- Indexing:
  - Journals listed in standard databases: PubMed Central (PMC) , Directory of Open Access Journals (DOAJ), Web of Science, Scopus, etc.);
- Copyright and Re-use:
  - Authors hold copyright;
  - Open Licences (CC-BY recommended)
- Sustainable Archiving:
  - Copies are archived in third party repositories;
  - Information about archived publication and how to access it is made available;
- Machine Readability:
  - Full text, metadata, supporting research data (if part of publication),

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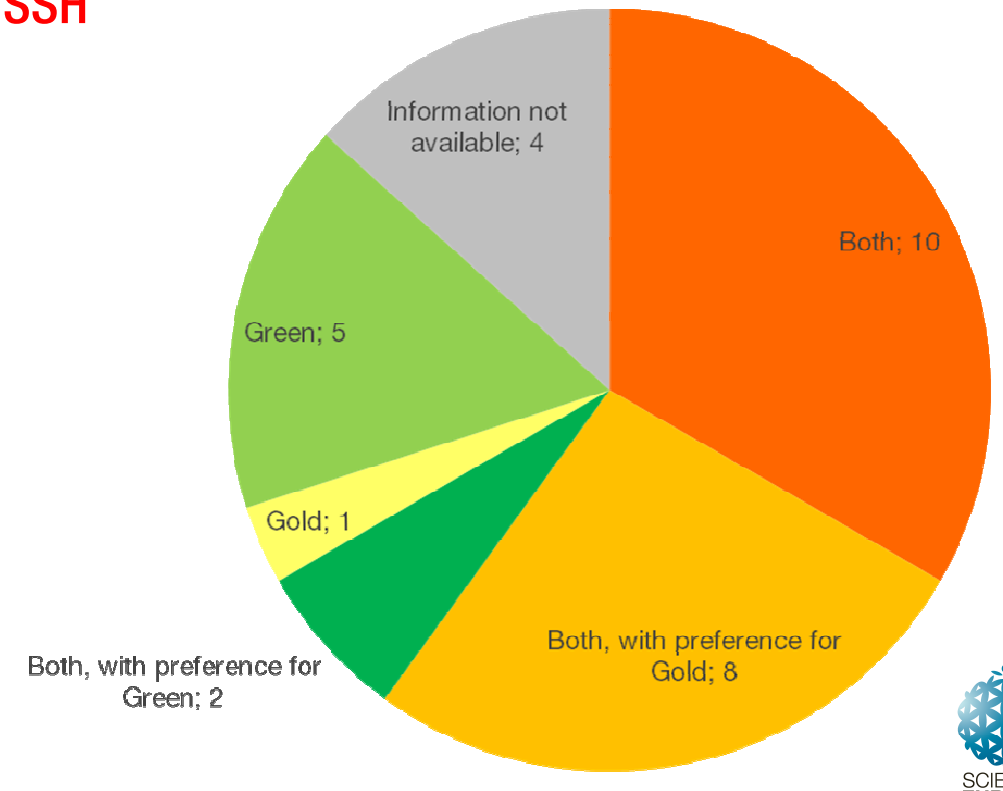
4. Survey on OA Policies of SE – State of Play

- 87% of surveyed MOs have introduced OA policies
- 85 % of the existing OA policies include mandatory provisions
- 2/3 of surveyed MOs support both, green and gold route
- The most common embargo period:
  6 months STEM and 12 months SSH



Types of OA publishing

Gold open access

- Some journals contain only OA articles
- Others, known as hybrid journals, may offer a mix of open and subscription content. In both cases, costs associated with publishing.
- These costs, usually paid through article processing charges (APCs), may be paid by authors or subsidised by a third party such as a funding agencies. The article is made available immediately. This route is known as gold open access.

Green open access

- Green open access involves publishing in a traditional subscription journal as usual, but articles are also 'self-archived' in a repository (institutional or external subject-based) and usually made available after an embargo period set by the publisher. No charges are paid.

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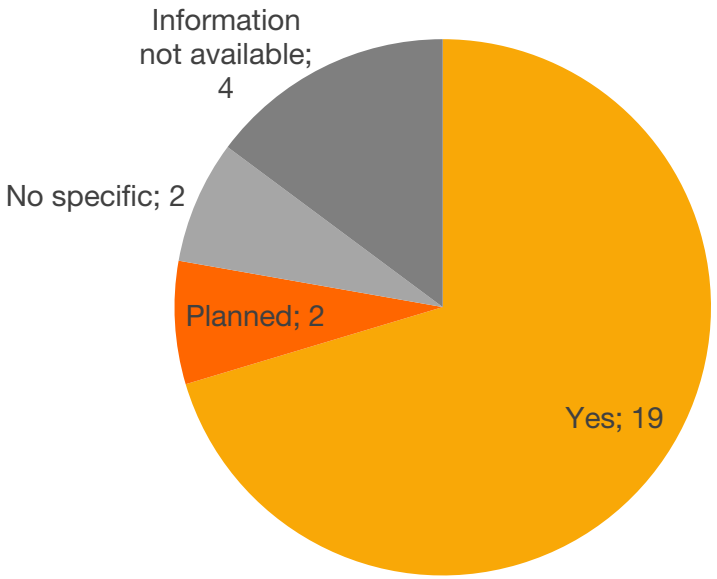
Article Process Costs (APCs)

Most SE members pay and most of them have conditions attached to the payment of APCs

Conditions attached for the payment of APCs? (for organisations which foresee the payment of APCs, N=27)



Examples of conditions :

- No double dipping = no hybrid (OA and subscriptions)

- Requirement from every institute belonging to the organisation to report in the evaluation procedure about its activities in regard to OA.
- Immediate OA, no embargo allowed;
- Permission to be given for the publication post-print to be deposited in repositories other than the publisher's own repository;
- Creative Commons CC-BY license (or equivalent) to be attributed to the publication.
- No restriction to its access or re-use is allowed

Challenges ahead

Monitoring and Compliance mechanisms remain challenging

- Monitoring and Compliance needs standards
- In some countries compliance cannot be enforced (freedom of research)

3. SE Briefing on OA Business Models

How the transition to OA can occur has been, and still is, heavily debated.

Several SE Member Organisations, have contributed directly to this transition (e.g. 2003) and are still ‘pushing’ for faster transition: e.g. OA2020 Initiative (MPG) with currently 560 signatory institutions.

Adding OA requirements to subscription contracts

- With the advent of electronic journals, publishers and libraries negotiated single large contracts which facilitate access to a multitude of journals, i.e. 'Big Deals'.
- Such contracts can be beneficial to both parties:
  - Publishers able to sell additional content to a larger number of customers,
  - Libraries gain access to additional content often at a lesser cost, and strengthen their negotiating power by acting collectively through consortia.
- Challenges:
  - Chronic lack of transparency in the way the "big deals" are priced (in different countries)
  - By the nature of "big deals", it is very likely that resources will be concentrated among few publishers that hold a majority of journals.
  - Larger, expensive contracts are likely to affect the flexibility of research organisations (bind resources instead of spending it for new innovative OA platforms).

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Accelerating the OA transition through offsetting models

- The basic idea behind 'offsetting' is to consider for a given institution the complete costs for subscriptions + costs for OA APCs = total spending for research publications of a given institution.
- Offsetting = financial and planning mechanism that ensures a relatively steady state of expenditures by counterbalancing the payments for subscriptions licenses with the spending on APCs.

Benefits:

- Institutions can monitor, control and work with budgets they already have (planning security)
- It is believed that offsetting facilitates the transition to OA since it clearly reduces the need to find additional money to cover APCs; It avoids double dipping by the publisher (control over budget)

Challenges:

- In the subscription model, it is not always clear and transparent how prices for a specific journal package are established.
- Offsetting seems to guarantee to publishers that their income levels will remain the same. There are no inbuilt mechanisms that would lead to a clear price reduction, reflecting lower processing costs for example.
- Offsetting could perpetuate the subscription status since offsetting mechanisms don't provide clear strategies to transition them to full OA.

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New business models in the evolving scholarly communication landscape – good or bad?

New forms of scholarly communication are evolving, and research results are increasingly distributed via new online channels, including social media

Trends and Benefits:

- Business models (that do not rely on APCs) offer the opportunity to pilot new approaches and to experiment with ideas that may eventually lead to alternative sustainable OA models.

Challenges ('Open Science ahead')

- Although the conversion to OA of existing subscription journals is a key priority, as these represent a significant proportion of all research outputs, other formats of scholarly communication should also be published in OA. Shifting the subscription budget alone will not immediately sufficient to cover these costs, and this could even inhibit innovation.

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SE Workshop with LIBER and EUA on Big Deals

'Challenging the current business models in academic publishing'
26-27 April 2017, Antwerp

\With experts from libraries, publishers and experts on the economics of academic publishing.

- Which characteristics / features of current licensing practices, in particular "big deals", are likely to accelerate or hinder the transition to open access? How to address the potential hindering issues to support a transition via licensing? Are bundled licenses a tool or an obstacle for the transition to open access?
- What other models help accelerate the transition?

- Release of a SE recommendation on the increase of transparency for OA costs via the 'Open APC initiative'.
- The Open APC initiative releases datasets on fees paid for Open Access journal articles by universities and research institutions under an Open Database License https://treemaps.intact-project.org/

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Beyond OA

- The debate on the best way to transition from the subscription model towards OA so far mainly focused on making the most of the money already in the system.
- However, there might be grounds to question more broadly whether the current publishing processes are still appropriate, and if offsetting is really the best model to truly accelerate the transition.

Beyond the traditional way of doing research

- New service requirements – because articles itself will change – more interactive, machine readable, text as teasers or different purposes, data, pictures, graphs…..
- OA publishers, 'traditional' publishers and new kids on the block will compete for new services
- New ways of publishing will need new ways of assessing and rewarding scientists – challenges and Opportunities for Early Career Researchers
- New crediting systems need to be addressed by funding agencies, publishers and scientists jointly
- Making articles and data more rapidly open, will increase the flow of information available – will this lead to better science? Will this lead to more collaborative work? Standards, best practices and responsible conduct in the context of 'the global research enterprise'*
- Especially for young scientists the challenging will be to filter out information and how they are credited
- * Source: Interacademy Partnership Doing Global Science

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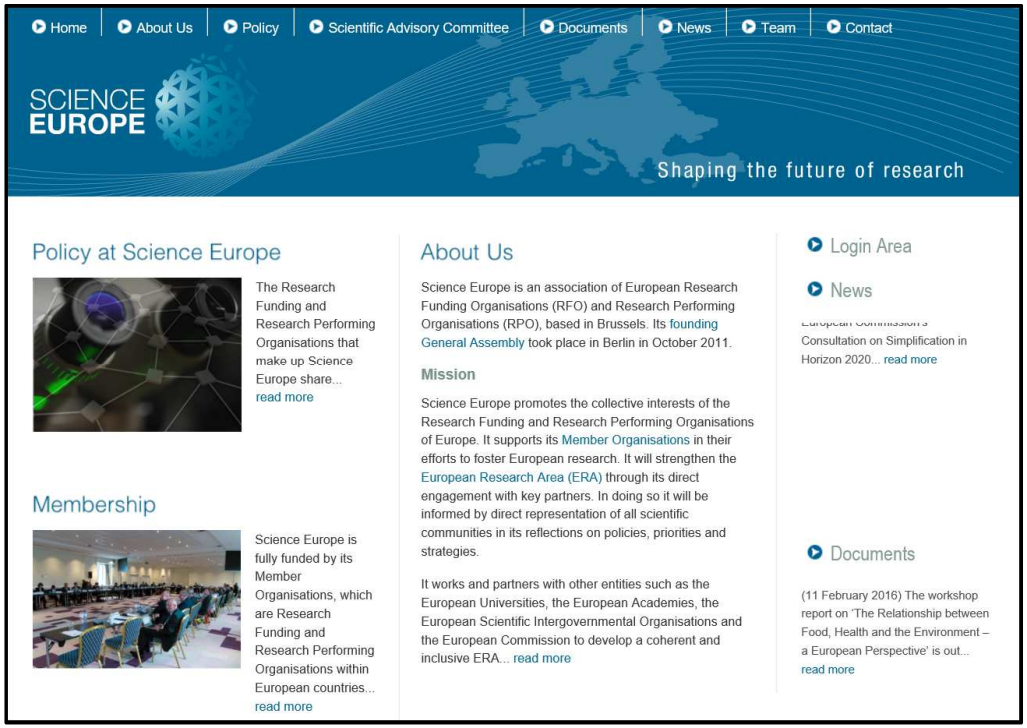
More information

www.scienceeurope.org

Twitter: @ScienceEurope

Science Europe
Rue de la Science 14
1040 Brussels
Belgium

office@scienceeurope.org



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