



o p e n a c c e s s
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Implementing a national-level transformative open access agreement

OhioLINK Advanced Topics in Open Access

25 July 2019

Colleen Campbell

Open Access 2020 Initiative | Max Planck Digital Library



@oa2020ini

To start, a tip of the hat



Our agenda

What will we cover?

Background and context

Transformative Agreements

- Definition
- How they work

Case Study: Projekt DEAL – Wiley

- Agreement characteristics
- Workflows
- Cost model

Why is it important?

Takeaways and Resources



Background and context

A strategy to make good on our committment to open access

OA2020 Expression of Interest in the Large-Scale Implementation of Open Access to Scholarly Journals

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

<https://oa2020.org/mission/>

Validated and supported by the global research community



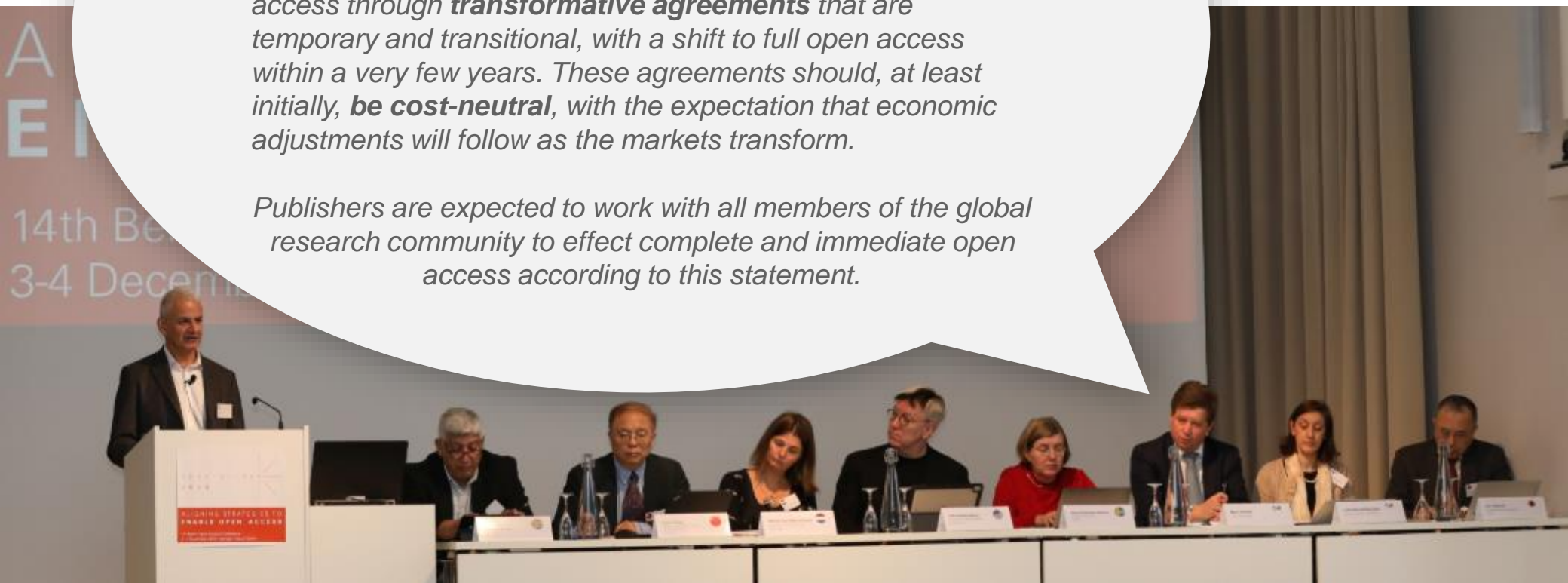
<https://oa2020.org/b14-conference/final-statement/>

Validate the global research community

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.





Transformative agreements

Definition

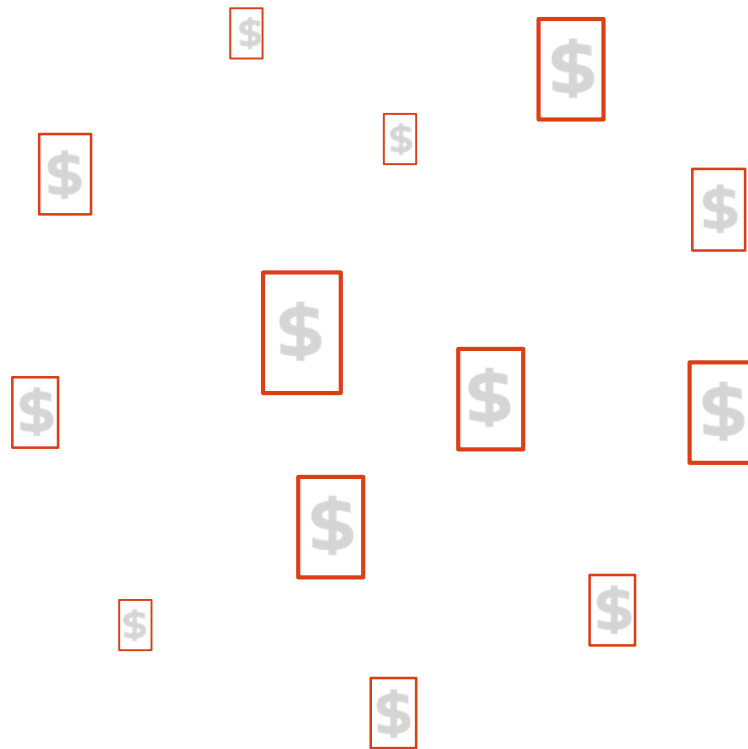
Transformative agreements are those contracts negotiated between institutions (libraries, national and regional consortia) and publishers that **transform the business model underlying scholarly journals** from subscription to open access.

They aim to **constrain costs** of scholarly communication and **foster sustainability and equity** in scholarly publishing

How they work

Digital transition

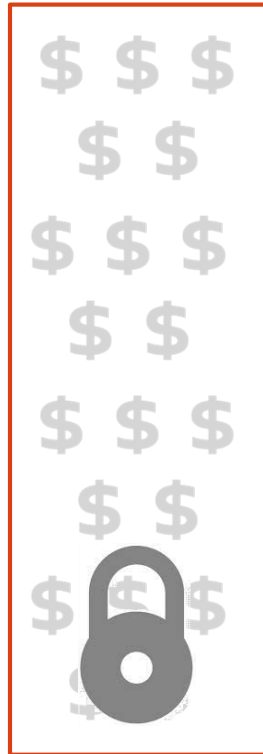
Money flow shifted
from individual
subscriptions to the
big deal package



How they work

Digital transition

Money flow shifted
from individual
subscriptions to the
big deal package

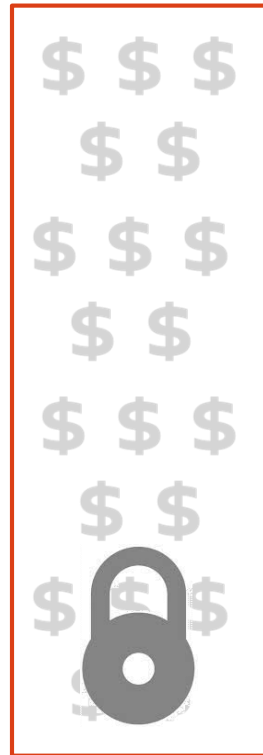


Subscriptions

How they work

Hybrid era

Authors increasingly pay APCs in the wild to publish open access



Subscriptions

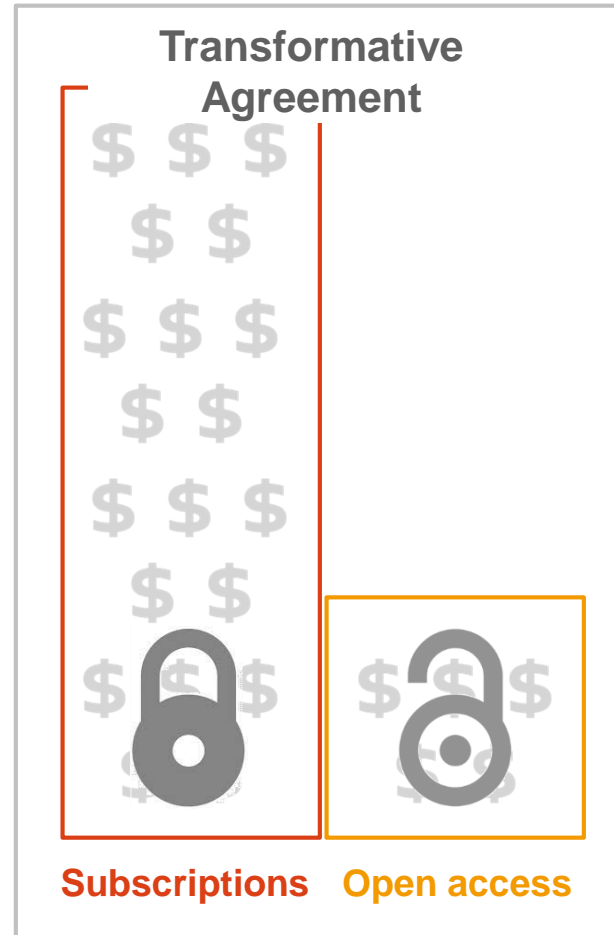


Open access

How they work

Open access transition

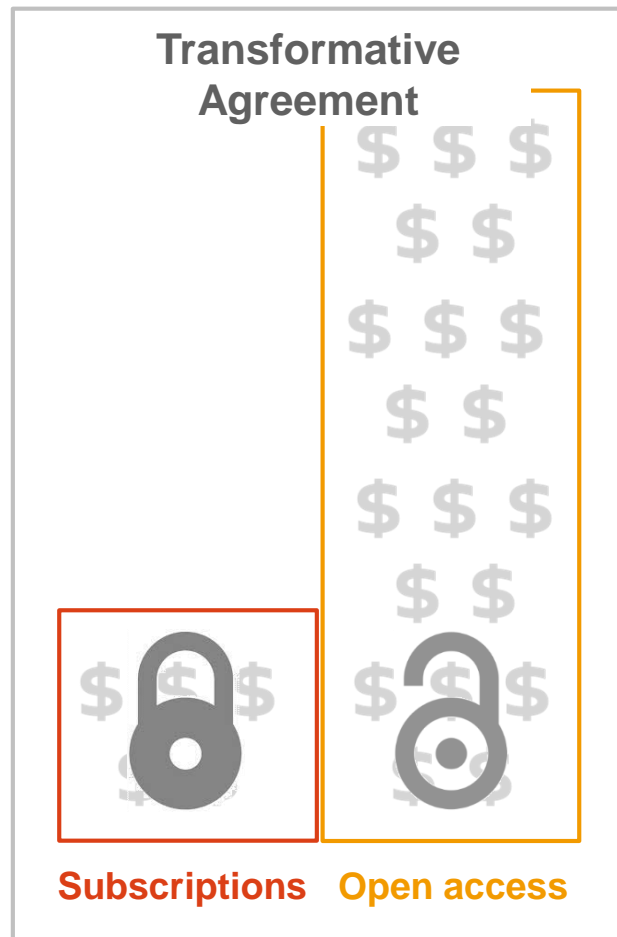
Hybrid spending is reined in and the two sides of scholarly communication are governed under a single agreement



How they work

Open access transition

Money previously spent for access is now used for open access publishing services

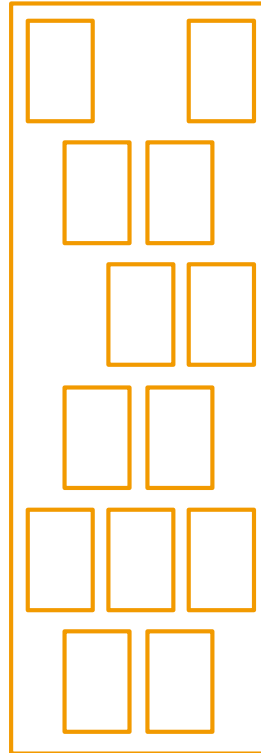


How they work

Open access transition

Costs are assessed transparently, based on actual publication volume.

Publication Fee



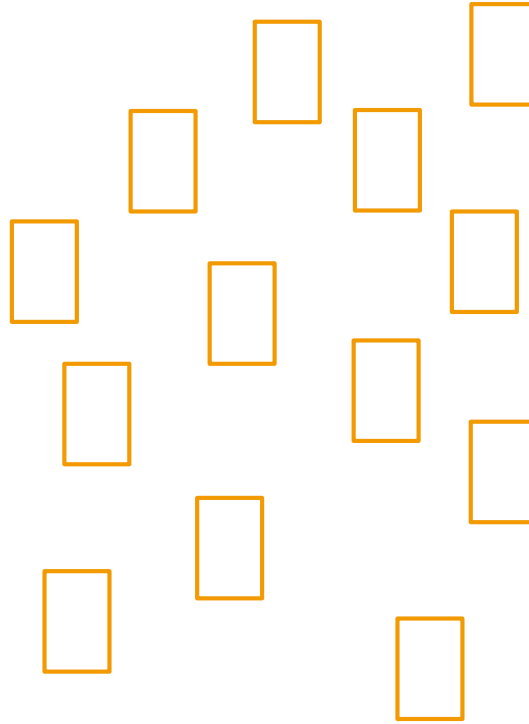
Reading Fee



How they work

Open access transition

Models continue to evolve. In the DEAL agreement, the cost of access is incorporated into the per-article “Publish & Read” fee.

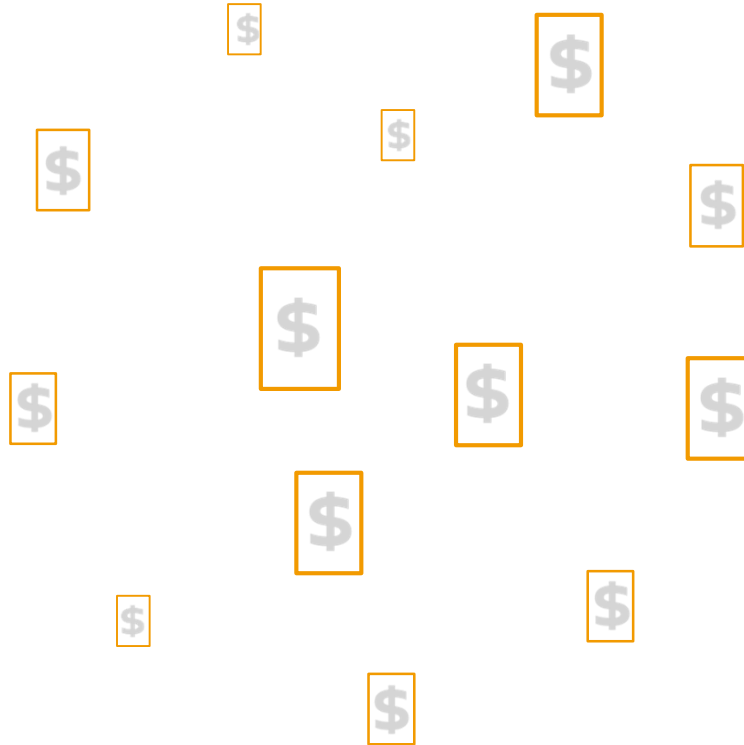


How they work

The next step

Preconditions established for a diverse and innovative scholarly publishing landscape:

- Costs associated with level of service
- Price transparency
- Funds free to flow where needed



Case Study – Projekt DEAL - Wiley

Wiley and Project DEAL partner to enhance the future of scholarly research and publishing in Germany

15. January 2019

Objectives



- Increase the impact of German research, publishing results open access for the world to read and build upon
- Ensure German authors retain exclusive rights to their works and the opportunity to publish in the venues of their choice
- Rein in the escalating costs of scholarly communication
- Accelerate the global open access transition for the benefit of scholars, students and citizens.

Contract signing: Dr. Guido Herrmann, Managing Director Wiley-VCH, and Dr. Frank Sander, Managing Director Max Planck Digital Library Services (Picture credits: dpa, Tanja Marotzke)

<https://www.projekt-deal.de/faq-wiley-contract/>

Agreement features

The Publish & Read (PAR) model



Under the predominant subscription model, libraries pay annual lump-sum fees for read access to journal packages, and authors wishing to publish open access in an otherwise closed, or “hybrid”, journal pay Article Processing Charges (APCs).

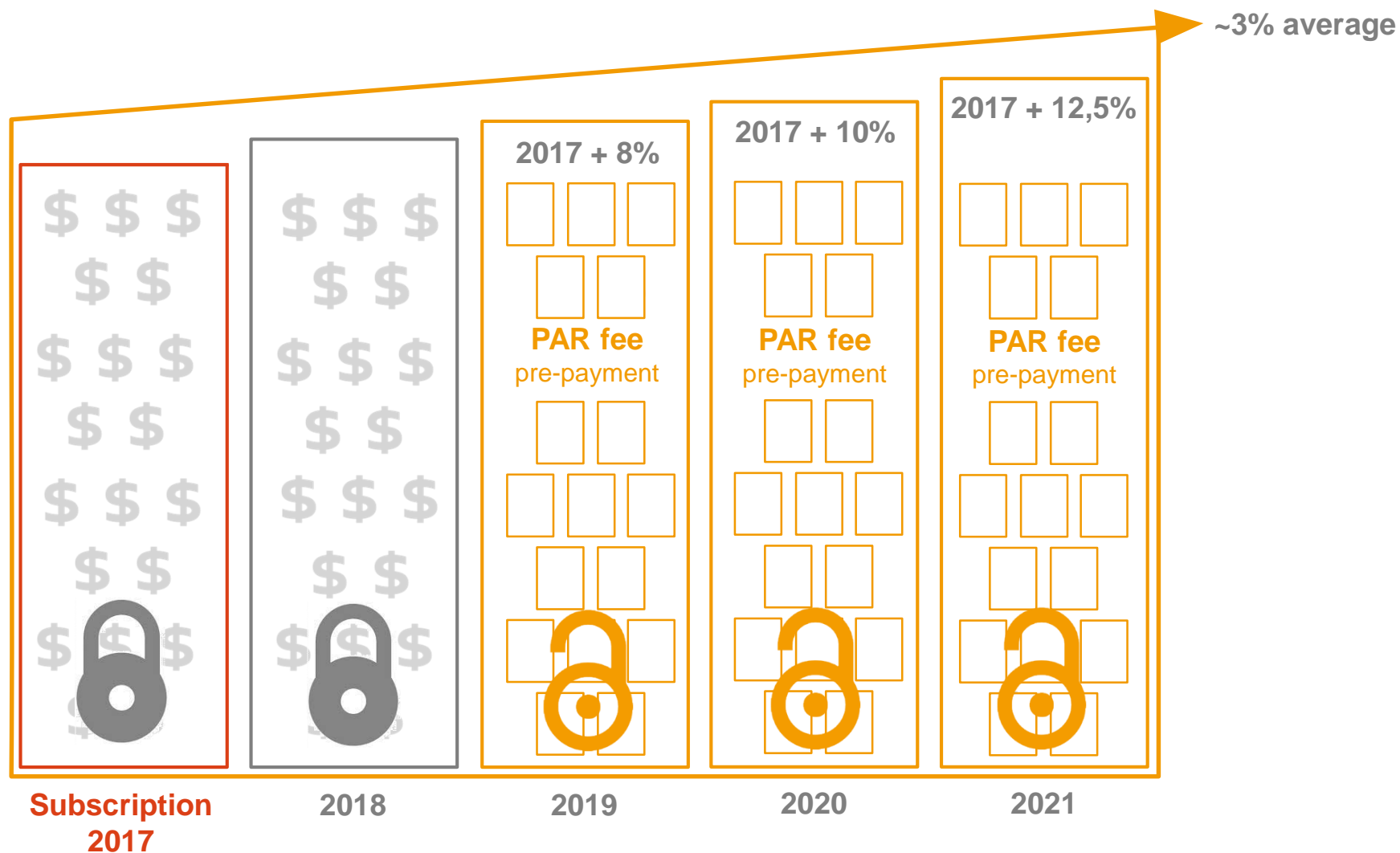
In the PAR model, the economic transactions and revenue flows are shifted and open access publishing is guaranteed. Authors no longer pay APCs and, instead, PAR fees will be sustained by institutions in proportion to the number of articles published by their authors. Authors simply follow their habitual submission workflows and are prompted to publish open access with a Creative Commons license.

Agreement features



- Euro 2750 Publish & Read fee (PAR fee **not** an APC)
 - No cap on # of articles
 - Preference for CC-BY
 - Risk sharing: pay based on article output
 - Pure gold OA 20% discount on list APC
 - Read access to full journal portfolio (~1700 titles)
-
- Extended to ~700 public and privately funded research institutions
 - Includes permanent access to full backfile from 1997
 - One-time fee of 2M
 - *Internal cost model to ease the transition*

Cost-neutral transition

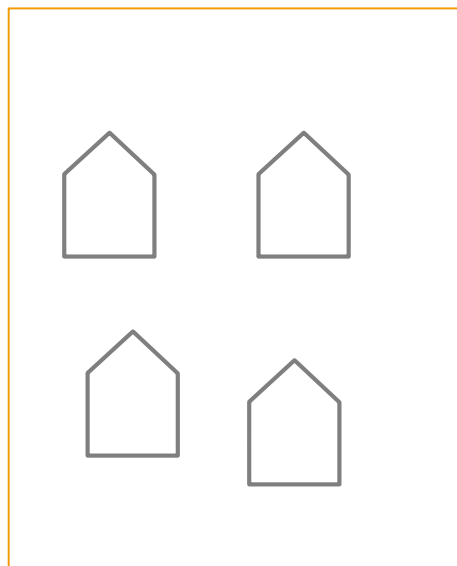


Pre-payment amount of estimated total PAR fees remains on the level of previous subscription spending (based on 2017 subscription fees) and APC's "in the wild" have been reined in = cost neutral

Consortium operations

Equalize the balance of power between individual institutions and publisher

Institutions



- Increased leverage as a single body
- Opportunity to expand benefits to more institutions

DEAL operations layer

Financial commitment based on 2017 subscription spend

Additional PAR invoicing per calendar year (+ service fee)

Gold APC invoicing per institution

Annual PAR invoice (pre-payment)

True article count

APC invoicing (based on true article count 20% discount)

Publisher

Hybrid publishing

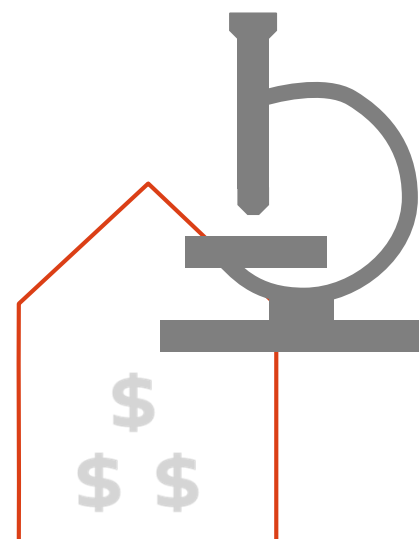
Read access with archival rights

Gold OA publishing

Internal cost allocation model



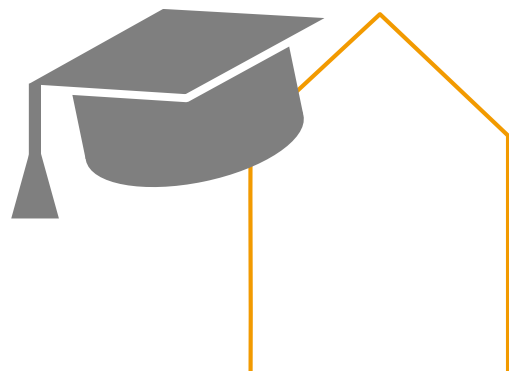
**Teaching
institution**



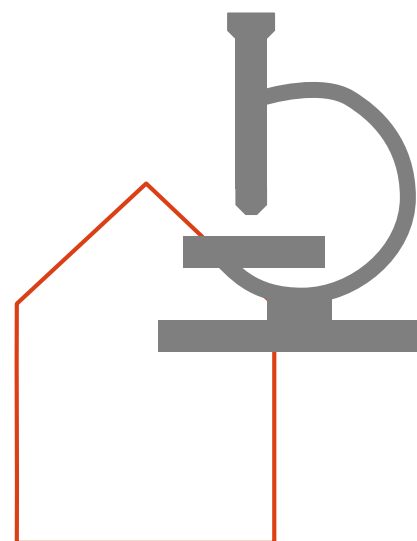
**Research
institution**

As we move from a model in which we pay for access to one in which we remunerate publishers a fair price for publishing services, spending levels of individual institutions may change.

Internal cost allocation model



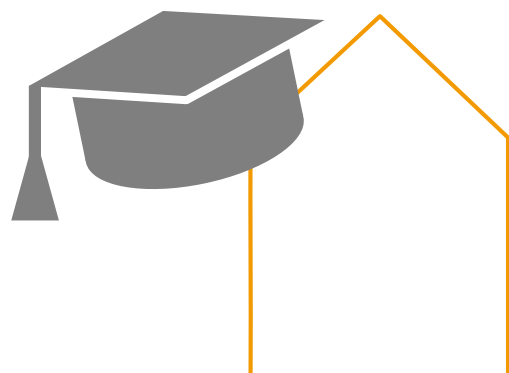
**Teaching
institution**



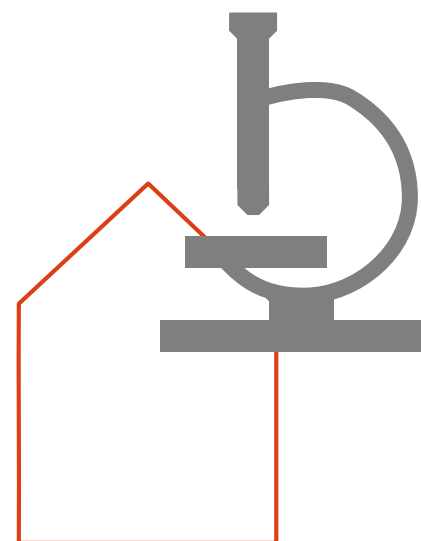
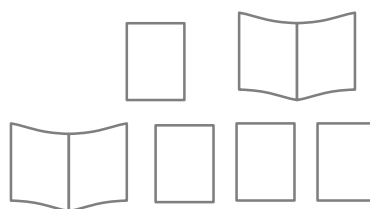
**Research
institution**

To ease this transition and gain time for institutions to organize their internal budgets, DEAL participants are asked to contribute pre-payment of estimated annual PAR fees based on their previous subscription expenditure.

Internal cost allocation model



**Teaching
institution**

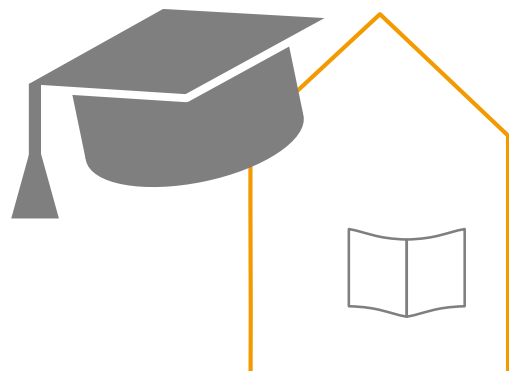


**Research
institution**

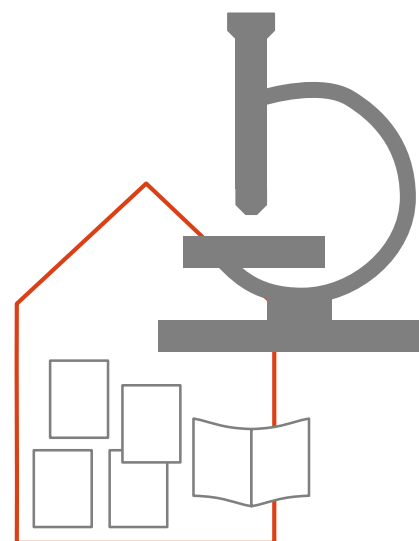
Participation in the agreement enables all institutions the opportunity to access the full Wiley Online journal portfolio and open access publishing according to the terms described.



Internal cost allocation model



**Teaching
institution**



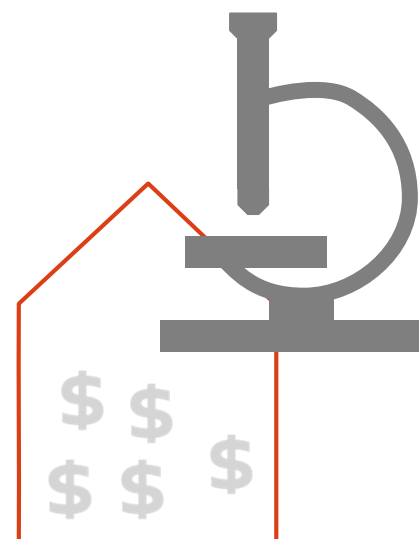
**Research
institution**

In the course of the year, institutions all benefit from the services negotiated in the measure that their students and faculty interact with Wiley journals.

Internal cost allocation model



**Teaching
institution**



**Research
institution**

In the first quarter of the following year, actual publishing activity will be analysed to determine what adjustments are to be made with respect to the amount each institution prepaid. Institutions whose article output warrants a greater contribution will be billed accordingly and invited to contribute their fair

Internal cost allocation model

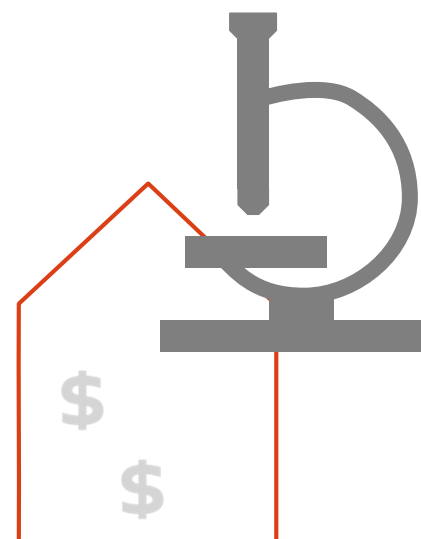


Institutions whose article output warrants a greater contribution will be billed accordingly and invited to contribute their fair share.

Internal cost allocation model



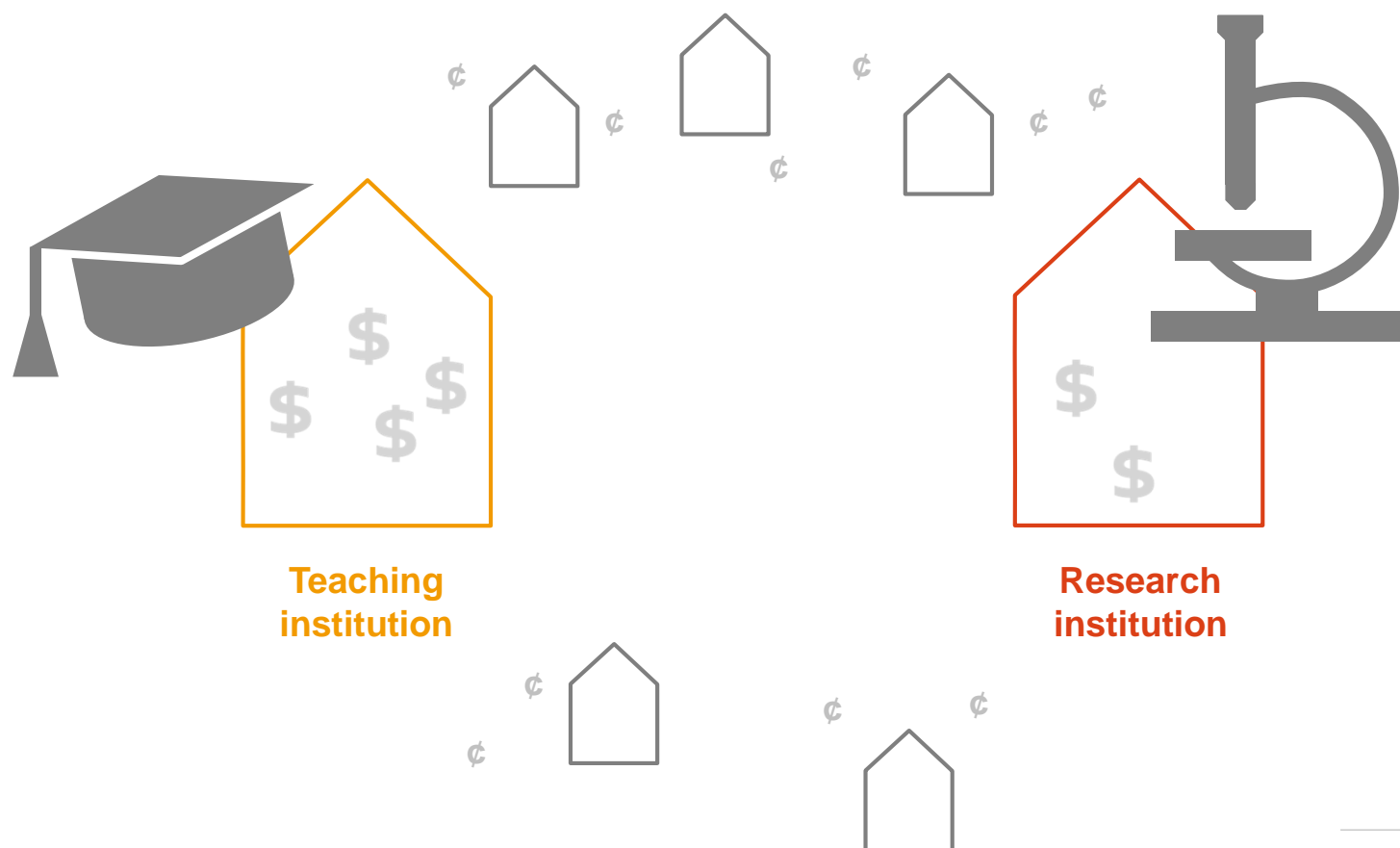
**Teaching
institution**



**Research
institution**

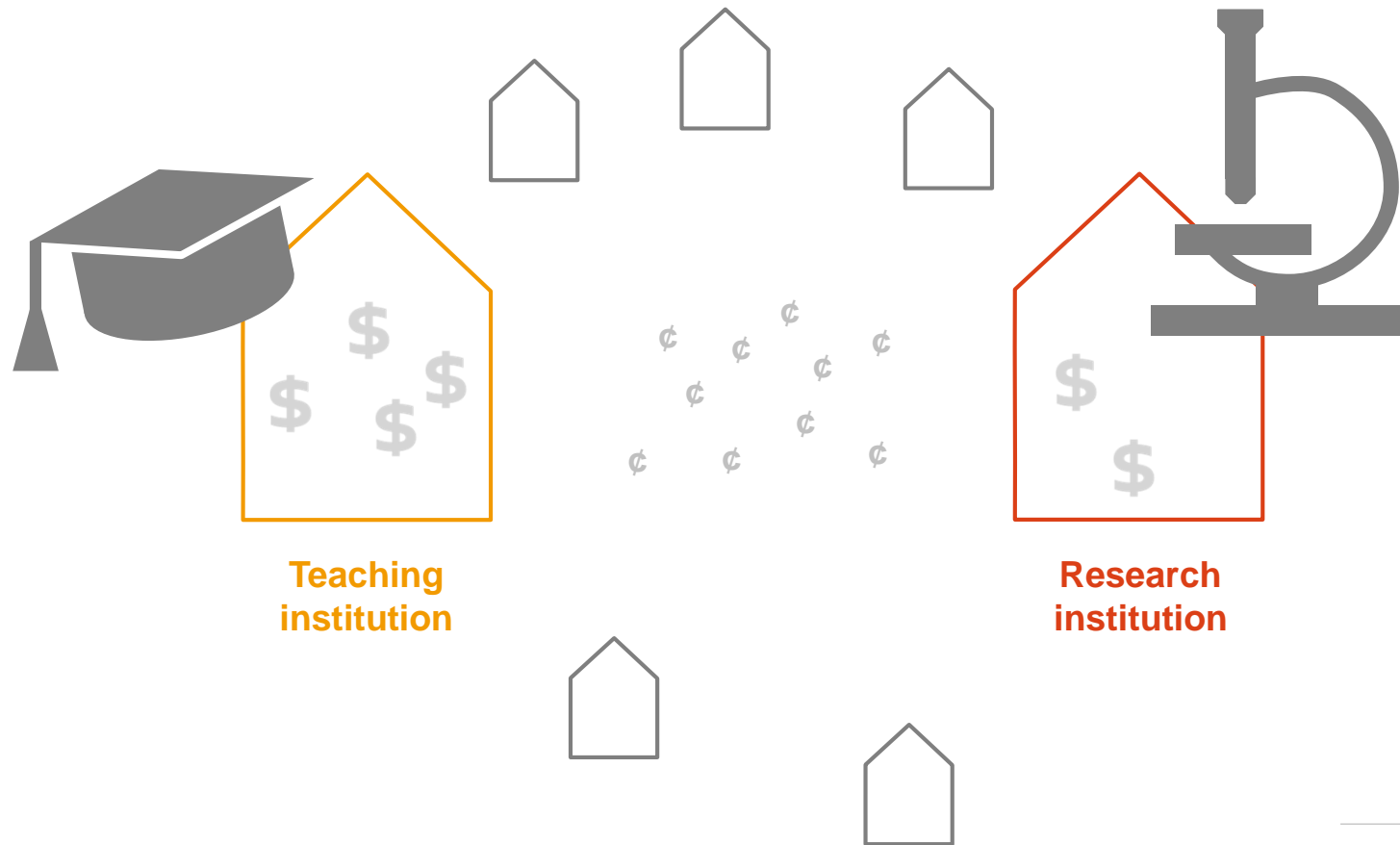
Funds recovered in this way will be used to credit those whose pre-payments exceeded the actual cost of services received.

Internal cost allocation model



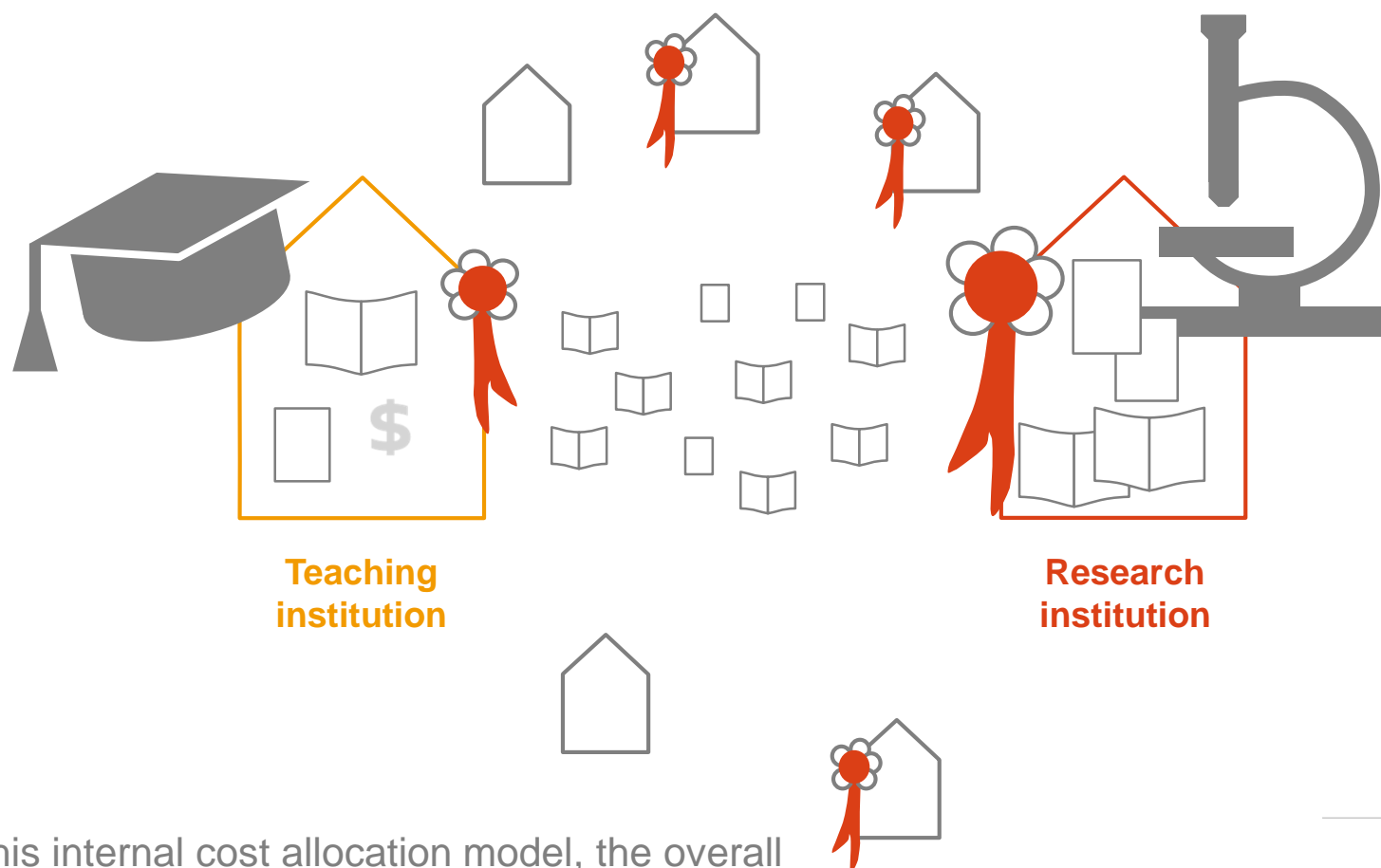
The agreement also enables a vast number of institutions to participate—even those who previously may have had no access to Wiley content.

Internal cost allocation model



Their participation via a nominal fee contributes to the overall sustainability of the model.

Internal cost allocation model



With this internal cost allocation model, the overall goals of DEAL can be achieved while allowing institutions time to organize the new funding streams that will accompany the open access transition

Consortium implementation and management



M P D L
Services GmbH

- Signatory of agreement on behalf of all potential participants (single licensee / invoice for Wiley = financial responsibility)
- Identification of eligible institutions (matching previous Wiley customers to publishing entities)
- Outreach with institutions and sign-up process
- Invoicing / crediting of participating institutions and management of funds (non-profit)
- Partner with publisher on communications, interface customizations, outreach
- Open access workflow management for some smaller institutions

Where are we now?



M P D L
Services GmbH

- 6 FTE to start up; expect need to go down as more automation introduced
- “Went live” (hybrid) as scheduled on July 1, 2019; some kinks to work out
- Sign-up process ongoing; 300 institutions already set (including all research-intensives)
- Be precise: definition of dates (submission, acceptance, publication) and versions (AAM vs VoR)
- Make it easy for authors
- Opportunity to drive improvement in publisher performance (more automation, reduce delays in publishing pipeline, good metadata to CrossRef faster)
- **Communication is key + contacts**

Local implementation and workflows



The screenshot shows the Wiley University Author Services dashboard. At the top, the Wiley logo is on the left, and user information 'Welcome, April Llamas (Admin)' with links for 'Sign Out', 'Home', and 'Account Info' is on the right. Below the header, there's a 'Manage All Accounts' link. The main content area is divided into sections: 'Pending Requests (0)' with a message 'You have no pending requests', and 'Approved Requests (87)' with a 'Download Report' link. A search bar is present with the placeholder 'Author, Article Title or Journal'. Below the search bar is a table of approved requests. To the right of the table is an 'Account Summary' box showing 'Total Spent: € 393,556' and 'Pending Approval: € 0'. Below the account summary is a 'Request Statuses' section showing 'Approval in Process: 1', 'Denial in Process: 1', and 'Approved: 1'.

	Request Date	Request Status	Author Name	Journal	Amount	Publication Status
View	27-Sep-17	Approved		British Journal of Surgery	€ 3,000	
View	22-Sep-17	Approved		Pharmacology & Drug Safety	€ 3,429	
View	20-Sep-17	Approved		Integrated Environmental Assessment and Management	€ 2,500	
View	20-Sep-17	Approved		Research Synthesis Methods	€ 2,500	

Role of librarians

- Author outreach and engagement
- Admin dashboard
- Verify author eligibility
- Verify article type, acceptance date
- Accept or deny submissions
- Communications with publisher
- Reporting

<https://authorservices.wiley.com/author-resources/Journal-Authors/open-access/index.html>

<https://authorservices.wiley.com/author-resources/Journal-Authors/open-access/affiliation-policies-payments/funder-agreements.html>

A giant step forward in the transition to open access



- ~10.000 articles a year complete and immediate open access
- Authors are guaranteed freedom of choice in publishing venue
- Authors retain copyright, can use and re-use their work
- Scholars and society learn from and build on the latest research
- Departure from the subscription logic
- Costs are within previous spending level (cost-neutral) and transparent; transactions at the article level
- Operational compliance with open access workflows
- Forward-looking processes and systems
- Prepare for transition at scale

Where do we go from here?

- Build on the new benchmark that removed “APCs in the wild” and achieved cost-neutrality with former subscription spend
- Pre-payment must shift to post-payment
- Market conditions and pressure will drive fees down; baseline prices will fall as more consortia and institutions negotiate transformative agreements



Key takeaways

Publishers embracing transformation



Momentum is growing globally

After Austria, the Netherlands, the UK, Sweden, Norway and Germany, now Japan, Spain, Saudi Arabia, Qatar, France, Switzerland, Greece, Hungary, Slovenia, the United States and beyond!

Unique agreement with Elsevier ensures open access publishing

As the first country, Norway has signed an agreement with Elsevier that ensures that Norwegian researchers can publish open access at no extra cost in most of Elsevier's journals.

Cambridge University Press and the University of California Agree to Open Access Publishing Deal

By [admin](#) / April 10, 2019



Agreement is UC's first with a major publisher and Cambridge's first in the Americas

Synergy with Plan S



Transformative agreements: Plan S supports the global [Open Access 2020 Initiative \(OA2020\)](#) which aims to accelerate the transition to Open Access by adopting strategies to systematically withdraw financial support of paywalled publishing venues and reinvest those funds to support Open Access publishing. cOAlition S encourages that publishers enter into transformative arrangements globally in all countries and share data from such arrangements.

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.



Opportunity for consortia and libraries to deliver new value

- Reconcile the tension between funder mandates for open access and scholarly journal habitat of our authors
- Rein in unmonitored and unchecked revenues of (hybrid) APCs “in the wild” flowing through our institutions
- Unlock the lump-sum revenues going to subscription publishers so that our money is free to flow to new publishing outlets
- Take a lead role in shaping scholarly communications in the 21st century



Resources

Shared set of common guidelines

- Temporary and transitional
- Authors retain exclusive rights to their works
- Agreements must be transparent
- Include permanent access
- Constrain costs of scholarly communication and foster equity in scholarly publishing
- Govern service and workflow requirements to ensure that the needs of authors and administrators are addressed



<https://esac-initiative.org/about/transformative-agreements/guidelines-for-transformative-agreements/>

<https://esac-initiative.org/guidelines/>

Evidence base founded on our own data analyses and value assessment

- (Re)define metrics to assess subscriptions and their costs; can we really only base value on usage?
- What is the publishing output of my institution (submitting, corresponding share), overall and with any given publisher?
- What proportion of my institution's outputs are published open access? What are the costs involved—APCs, page charges, color charges, figure charges...?
- What value does my institution bring to a publisher's portfolio?

Transformative Agreement Registry

COSTS

How does the costs of the agreement relate to previous subscription-only agreements with the publisher?

Agreement costs within the range of the previous spending level

FINANCIAL SHIFT

Transformative agreements vary by their transformative mechanisms, meaning the way in which financing is shifted from the subscription side to open access publishing. What are the characteristics of this agreement to this regard?

Subscriptions fully converted to oa publishing fees (access related costs 5% or less)

OVERALL ASSESSMENT AND COMMENTS

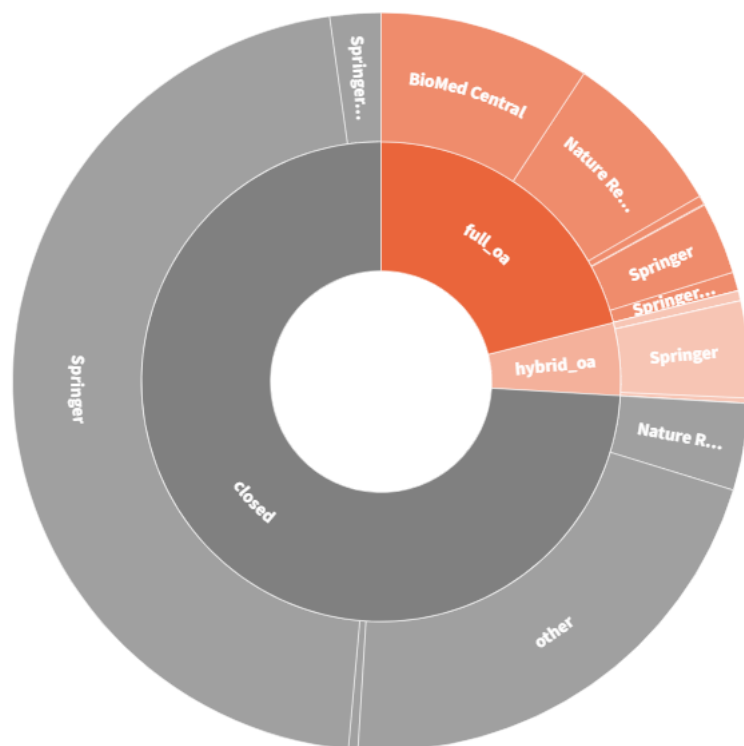
This is a good example of a clear and transparent publishing agreement in the framework of the current spending.

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

ES@C Market Watch

Open access gold and hybrid shares by the number of articles

All 2015 2016 2017 2018



<https://esac-initiative.org/about/apcmarket/>

<https://treemaps.intact-project.org/apcdata/openapc/>

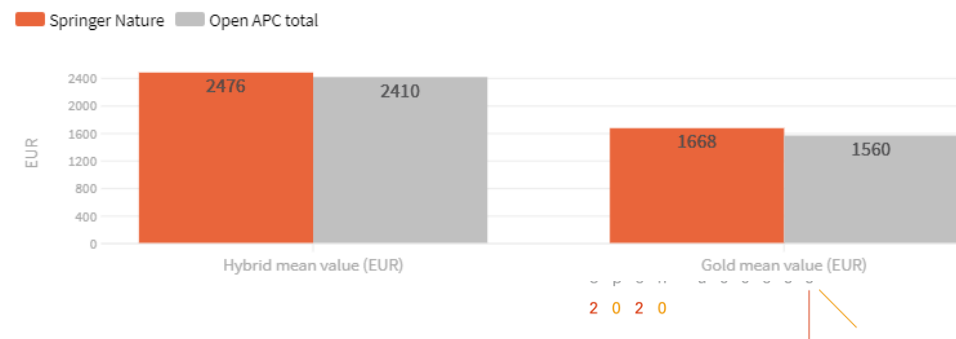
Springer Nature

Characteristics of the transformative agreements negotiated

Springer Compact	
Publishing Fee	The publishing fee is calculated by multiplying the number of expected articles in one year with an article charge.
= number of eligible articles x APC	
Reading Fee	The reading fee in current agreements varies between 5-15% of the total agreement amount.

APC price points

Mean values of institutional expenses for Springer Nature APCs in 2017 compared to overall mean values in 2017



ES@C Workflow recommendations

Relevant for open access and transformative agreements

A) Author & article identification & verification

Show More

B) Funding acknowledgement and metadata

Show More

C) Invoicing and reporting

Show More

<https://esac-initiative.org/about/oa-workflows/>

Where do I start?

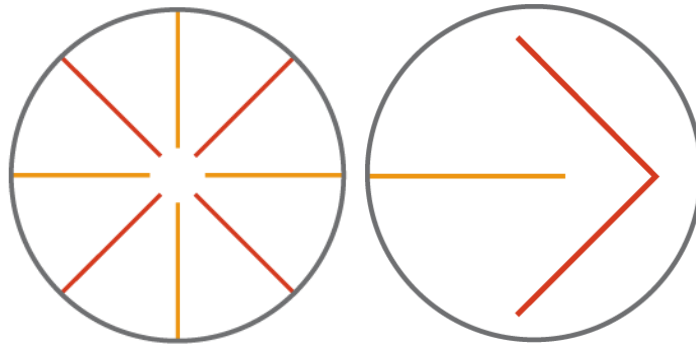
- Show your support for the transition of subscriptions to open access by signing the OA2020 Expression of Interest
- Take steps to collect and analyze relevant data points; they are the foundation for building your strategy
- Connect with local and international academic library communities to share and learn: US OA2020 WG, ESAC, ICOLC, OA2020

<https://oa2020.org/mission>

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

<https://osc.universityofcalifornia.edu/open-access-at-uc/publisher-negotiations/negotiating-with-scholarly-journal-publishers-a-toolkit/>

Thank you



Participate
in **OA2020**

Accelerate
the transition

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Max Planck Digital Library

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[@ColleenCampbe11](https://www.colleencampbell.com)

<https://oa2020.org>