



o p e n a c c e s s
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Transformative Agreements: Come e perché

Transformative agreements e PlanS: verso l'Open Access globale

21 febbraio 2019 | Biblioteca Centrale CNR

Colleen Campbell

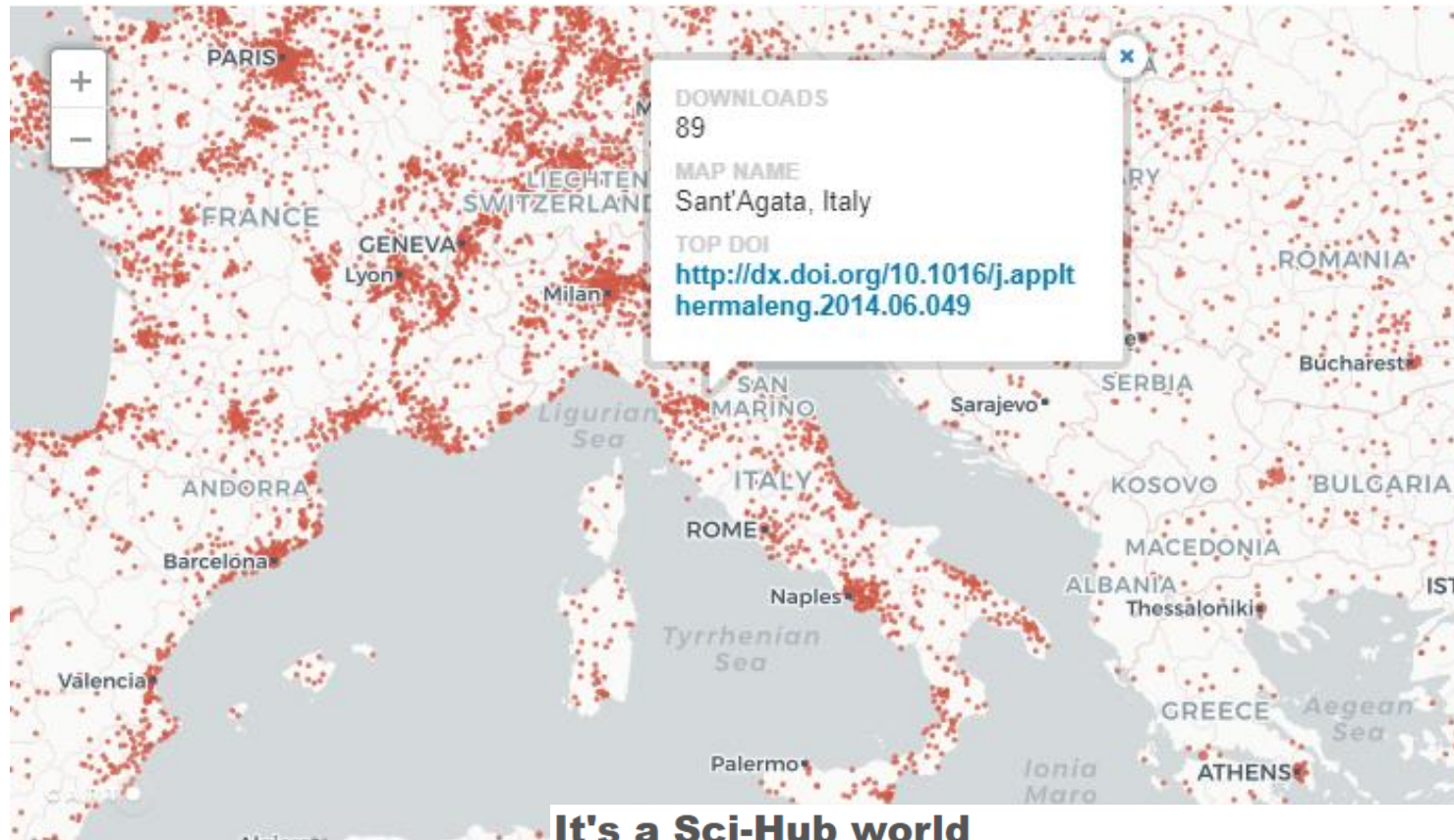
Open Access 2020 Initiative | Max Planck Digital Library



@oa2020ini

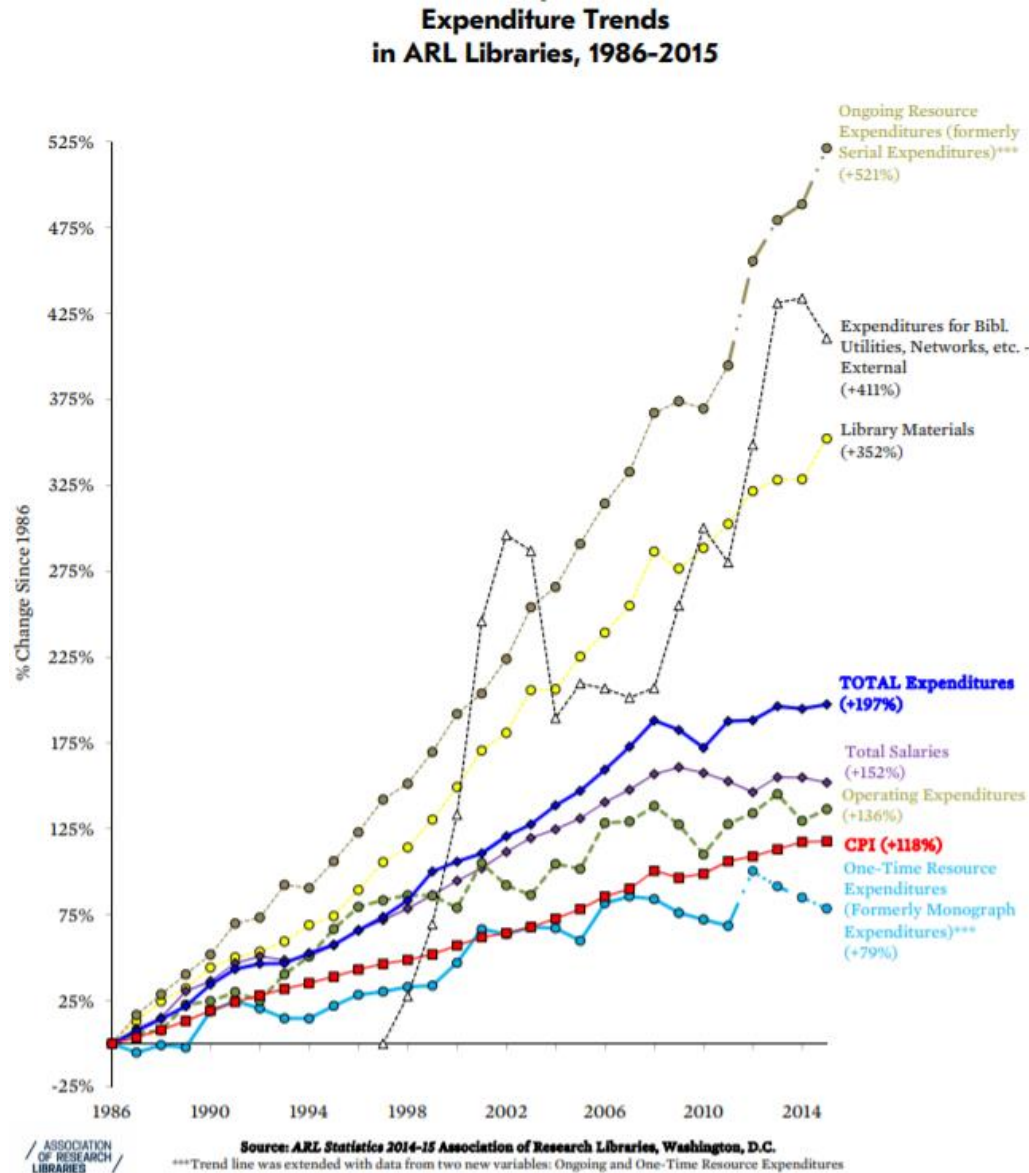
Cominciamo dai perché

Paywall access does not meet the needs of our researchers



Server log data for the website Sci-Hub from September 2015 through February 2016 paint a revealing portrait of its users and their diverse interests. Sci-Hub had 28 million download requests, from all regions of the world and covering most scientific disciplines.

We cannot afford to continue subscriptions

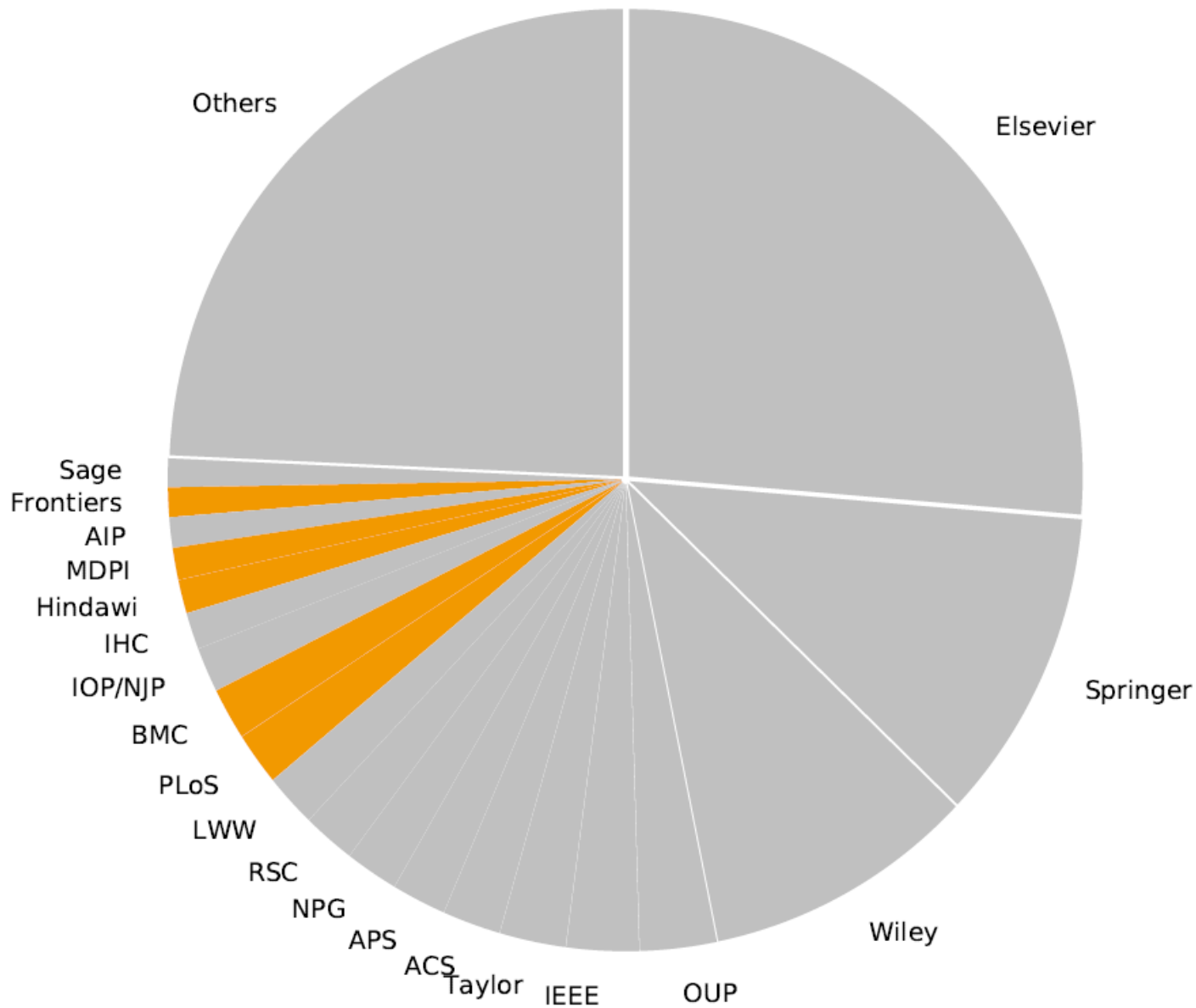


OA publishing is an uncontrolled market

Publisher	Journal	#Papers 2016
PLOS	PLOS ONE	22091
NPG	Scientific Reports	20546
RSC	RSC Advances (OA as of 2017)	13274
Impact	OncoTarget	6625
APS	Physical Review B: Condensed Matter and Materials Physics	5345
ACS	ACS Applied Materials and Interfaces	4057
NPG	Nature Communications	3537
RSC	Physical Chemistry, Chemical Physics	3503
APS	Physical Review D: Particles, Fields, Gravitation, and Cosmology	3390
Elsevier	Medicine	3275
Elsevier	Journal of Alloys and Compounds	3243
ACS	The Journal of Physical Chemistry C: Nanomaterials and Interfaces	3241
OUP	Monthly Notices of the Royal Astronomical Society	3208
NAS	Proceedings of the National Academy of Sciences of the USA	3183
AIP	Applied Physics Letters	3047
e-Century	International Journal of Clinical and Experimental Medicine	3005
RSC	Chemical Communications	2967
OSA	Optics Express	2903
AAS	The Astrophysical Journal	2812
Desalination	Desalination and Water Treatment	2762

20 largest journals, based on number of papers published in 2016. OA highlighted in grey.
MPDL analysis based on data from **Web of Science**.

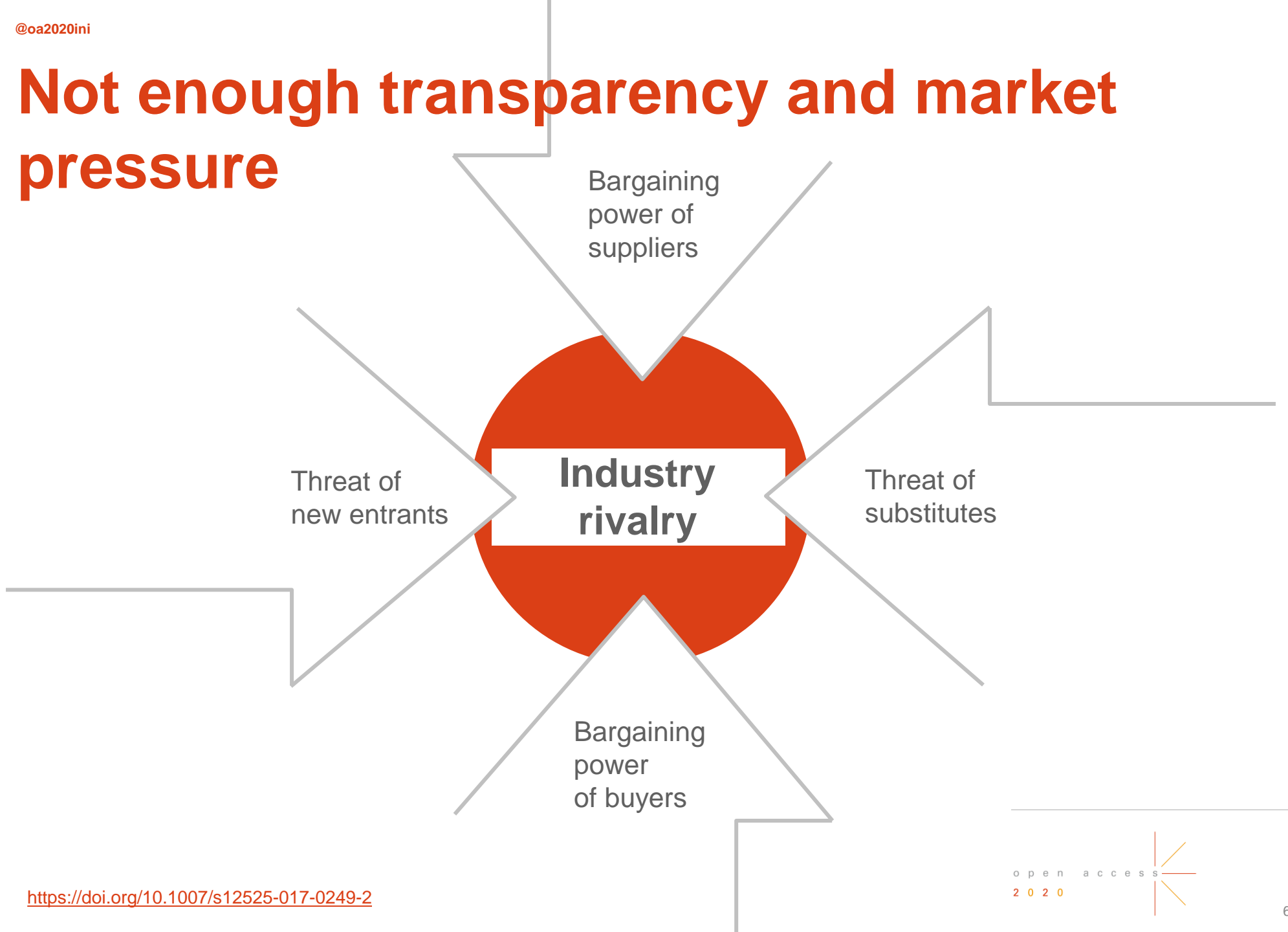
OA publishing is growing in Italy



Over 75% of the total article output of **Italy** is published in journals by just 20 publishers.

5 of these are pure OA publishers.

Not enough transparency and market pressure



We need a strategy to address subscriptions head-on

📅 January 14th, 2019

Resignation of the editorial board of the Journal of Informetrics

Over the last few years, the editorial board of the Journal of Informetrics (JOI) has grown increasingly dissatisfied with Elsevier's actions and policies. While some of those have specific effects on our field—such as Elsevier's refusal to participate in the Initiative for Open Citation (I4OC)—others are affecting all fields of science—such as its restrictive open access policies and prohibitive subscription costs. The editorial board of JOI expressed these concerns to Elsevier on numerous occasions, with no success. Given the inability of Elsevier to address these issues, the editorial board unanimously resigned on January 10th 2019. As of January 12th 2019, names of associate editors and editorial board members have been removed from the website of the Journal of Informetrics.

The resignation letter can be found [here](#).

Journals should serve the research community—not the other way around. They provide an exchange forum which can only prosper through the work of authors, reviewers, and editors. Therefore, the former editorial board of the Journal of Informetrics unanimously decided to redirect its labor to a newly created journal, Quantitative Science Studies (QSS), published by MIT Press and owned by the International Society for Scientometrics and Informetrics. I invite all of you to join us in this new endeavor and help us demonstrate how the research community can take control back of its means for disseminating knowledge, in a fair, open, and transparent way. We must all work together in making QSS a success, not only for the field of scientometrics and informetrics, but for science as a whole.

Vincent Larivière
Former Associate Editor, Journal of Informetrics
Interim Editor-in-Chief, Quantitative Science Studies



Evidence that a cost-neutral transition to OA is possible


$$\begin{array}{r} 7.6 \text{ Bn EUR} \\ \div 2M \text{ # articles} \\ \hline 3800 \text{ EUR per article} \end{array}$$

$$\begin{array}{r} > 2000 \text{ EUR per article} \\ \times 2M \text{ # articles} \\ \hline 4.0 \text{ Bn EUR} \end{array}$$

$$\begin{array}{r} 7.6 \text{ Bn} \\ - 4 \text{ Bn} \\ \hline \underline{\underline{3.6 \text{ Bn}}} \end{array}$$

And what about hybrid?

OA publishing constitutes an **unmonitored and unchecked parallel revenue stream** for subscription publishers

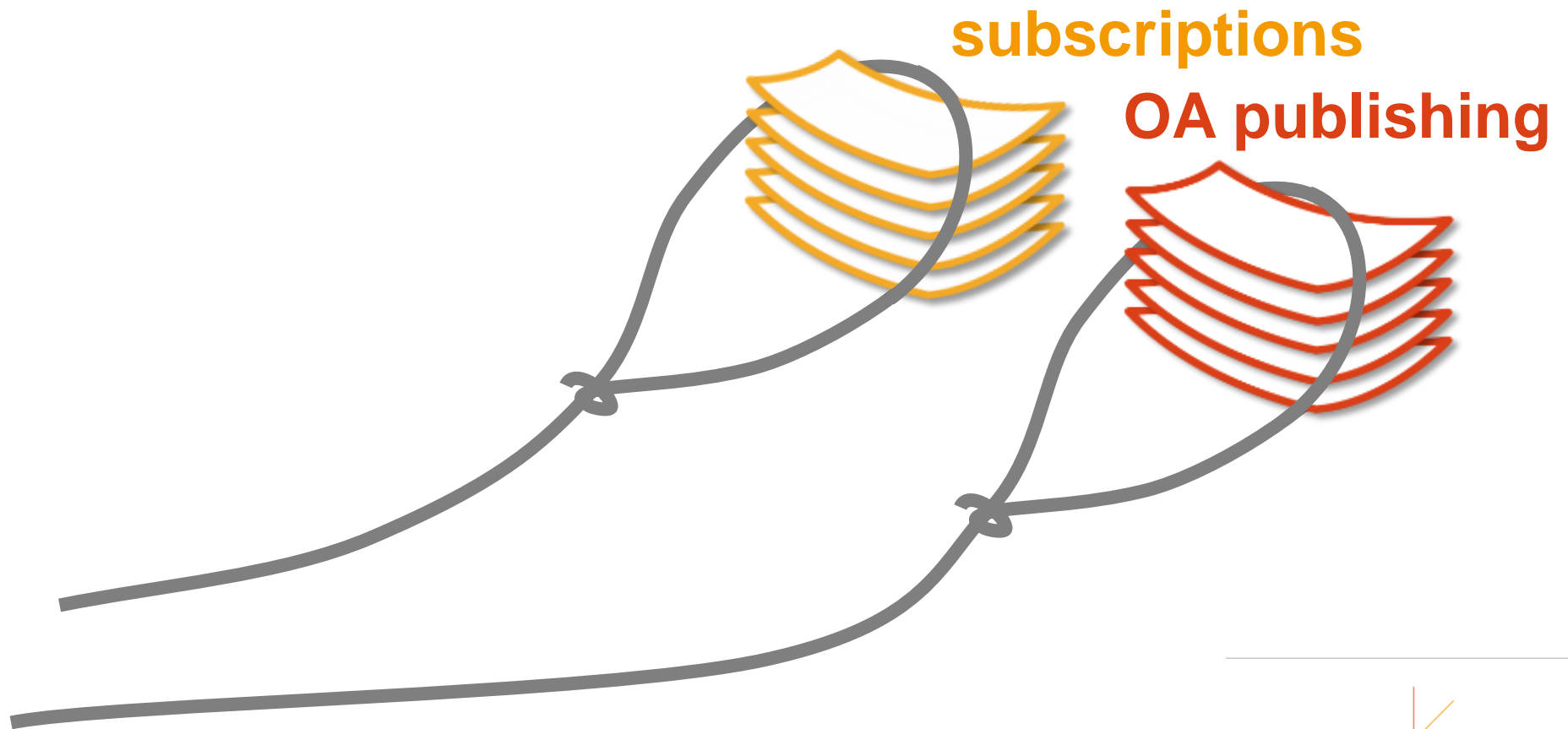


7.6 Bn EUR
÷ 2M # articles

3800 EUR per article

~~+ 70~~
~~+ 100~~
→ **1000**

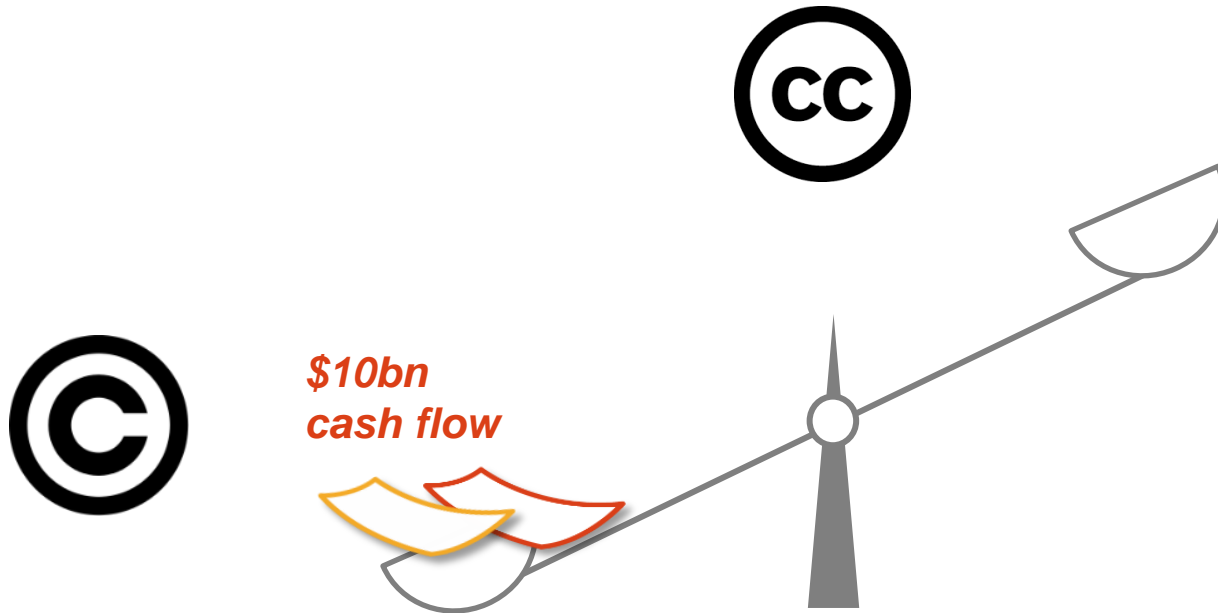
To unlock the system, both money streams must be reined in



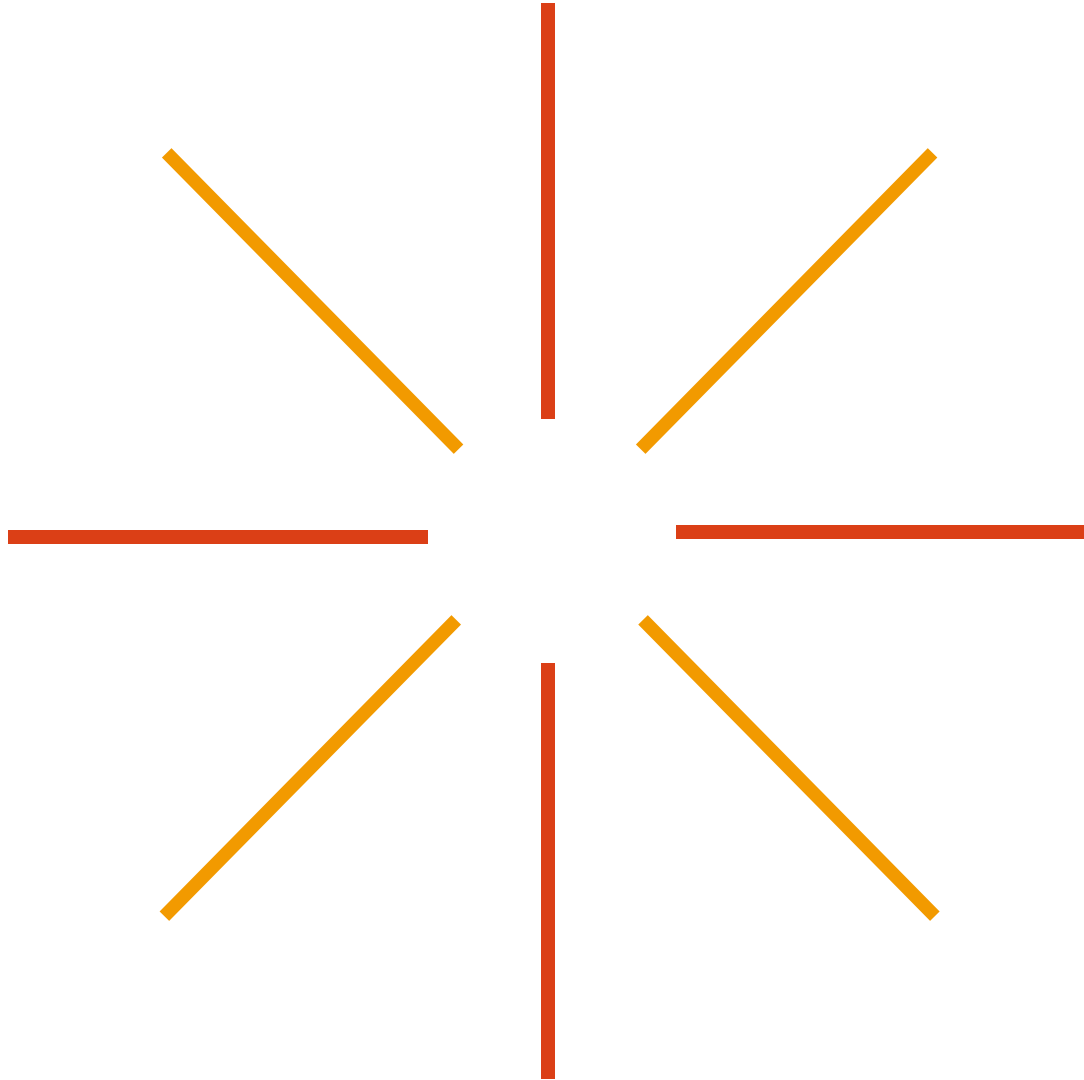
Spending must shift *away* from paywalls *toward* open access publishing services

Subscription system

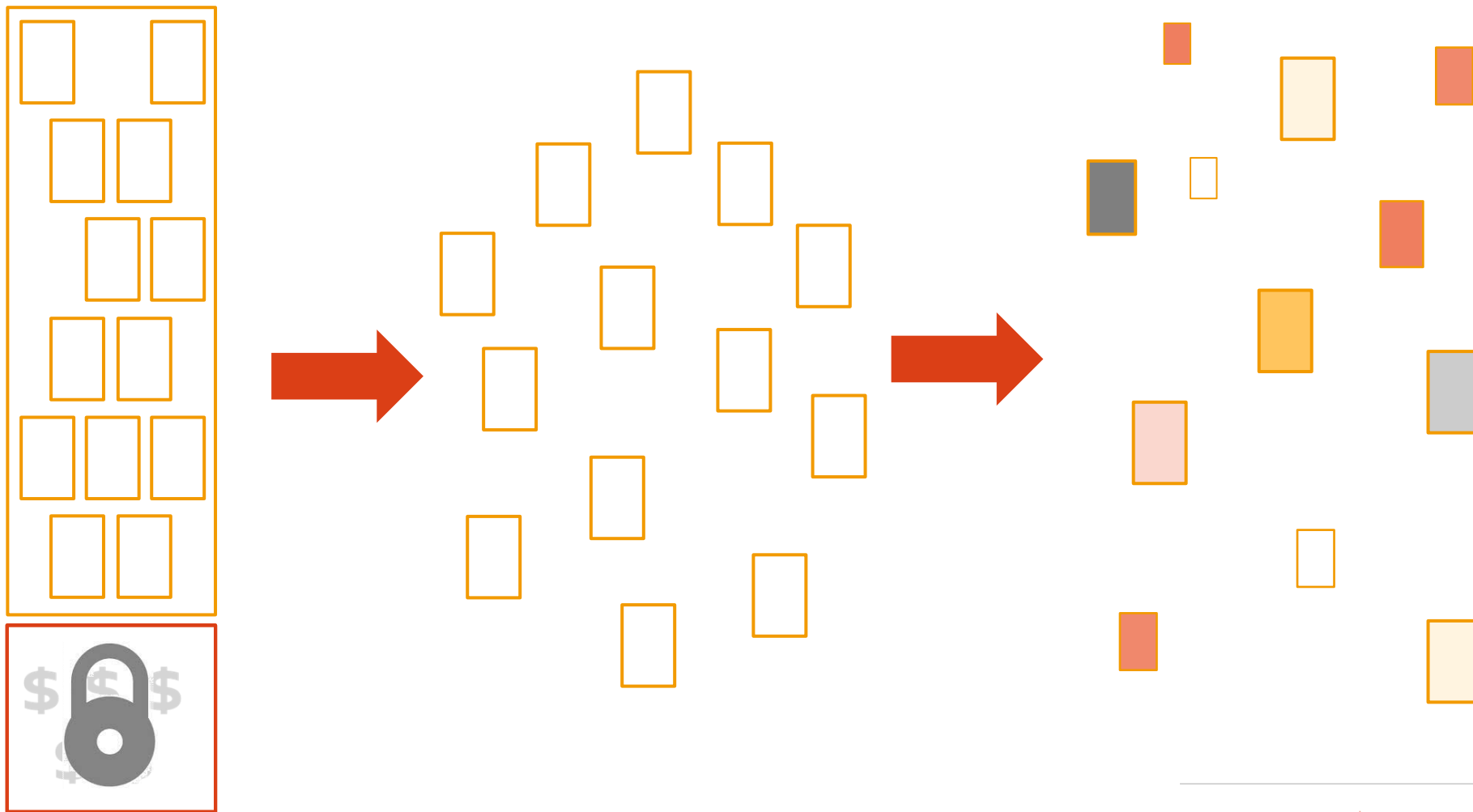
Open Access



E adesso, come?

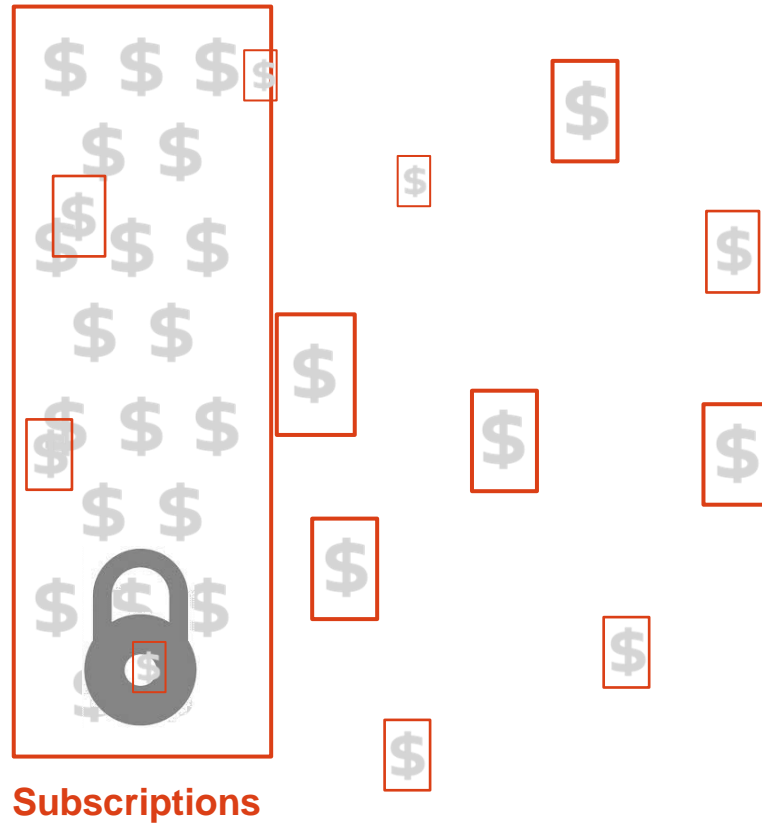


Transformative agreements

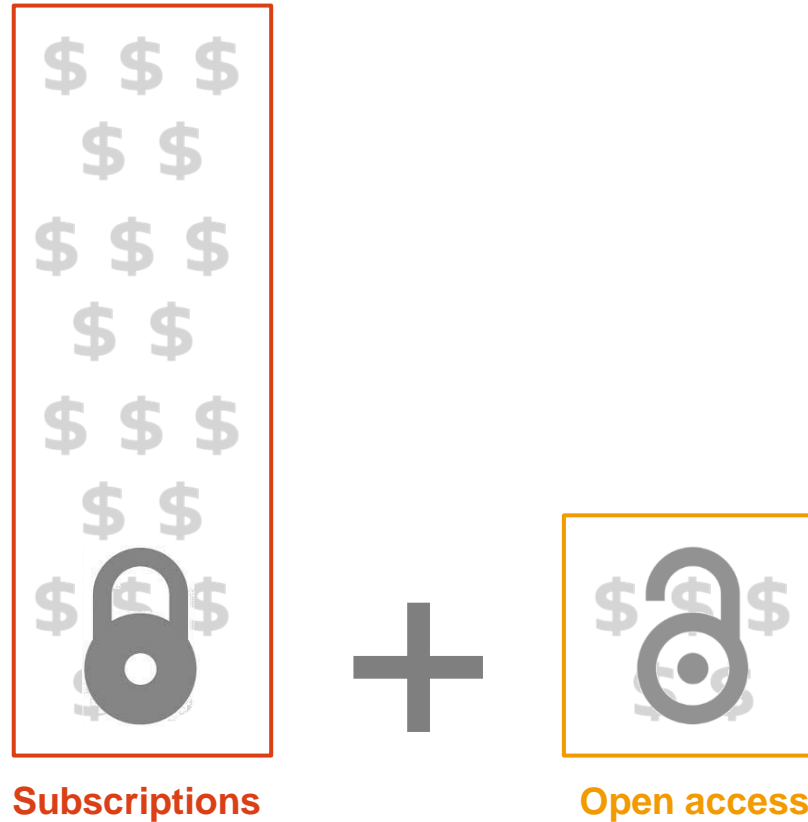


<http://esac-initiative.org/>

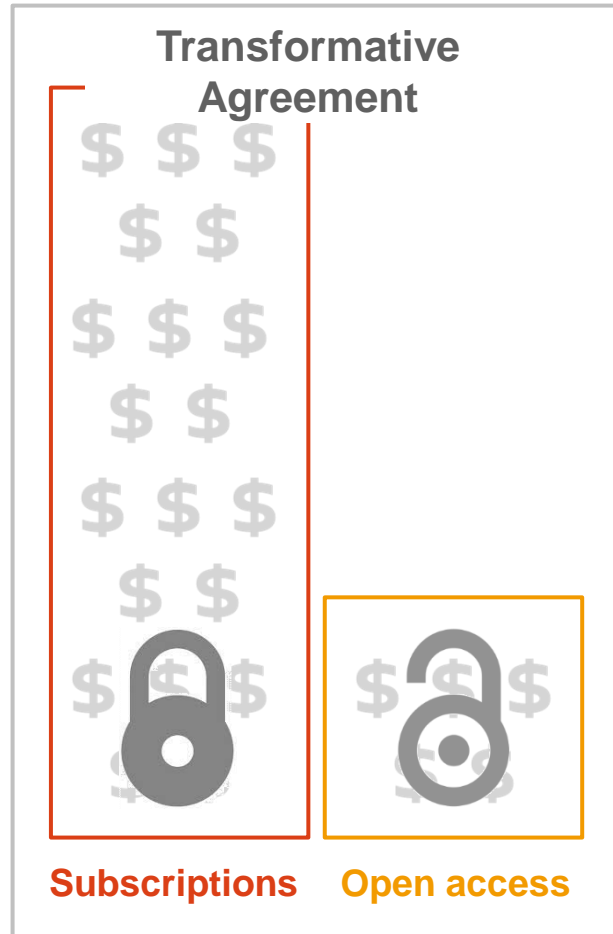
From individual journal subscriptions to the Big Deal



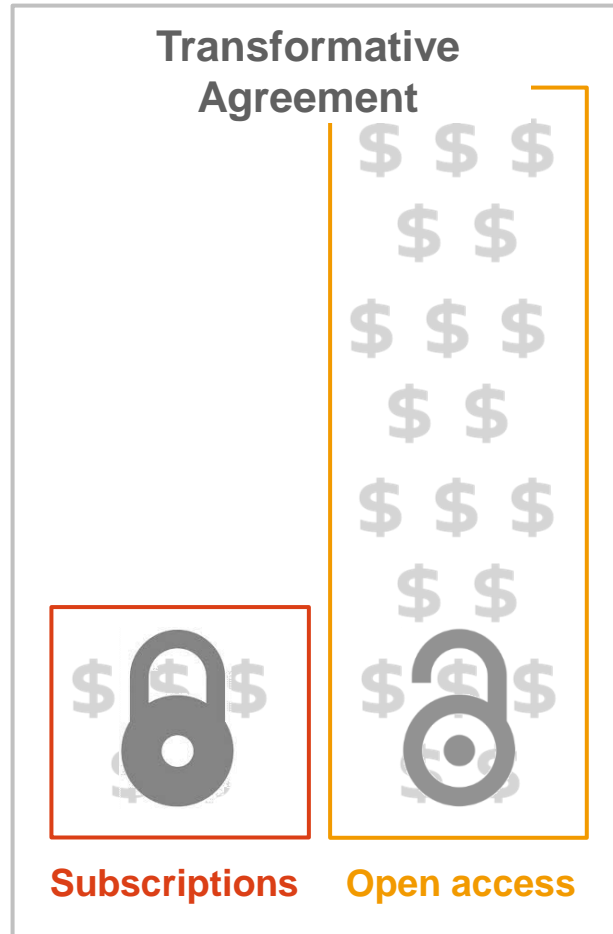
Hybrid publishing created a second, unmonitored revenue stream for publishers = double dipping



Transformative agreements get control over hybrid costs

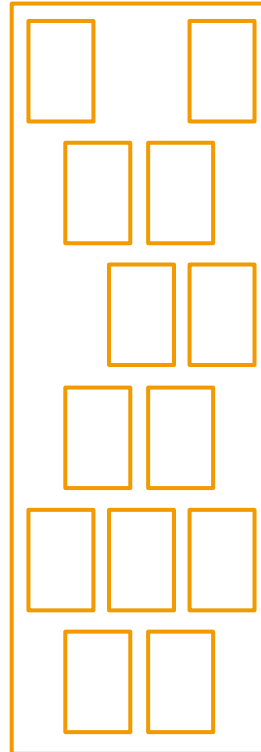


Subscription funds are converted to open access publishing funds



Costs and workflows shift from package level to the individual article level

Publication Fee

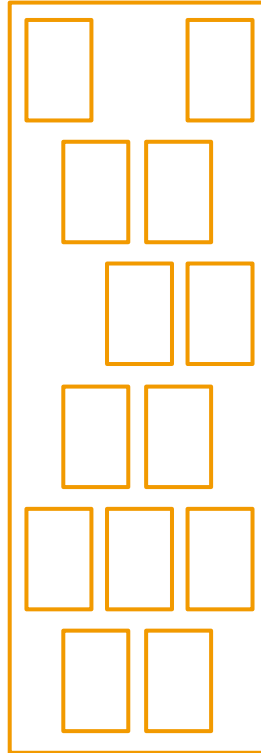


Reading Fee

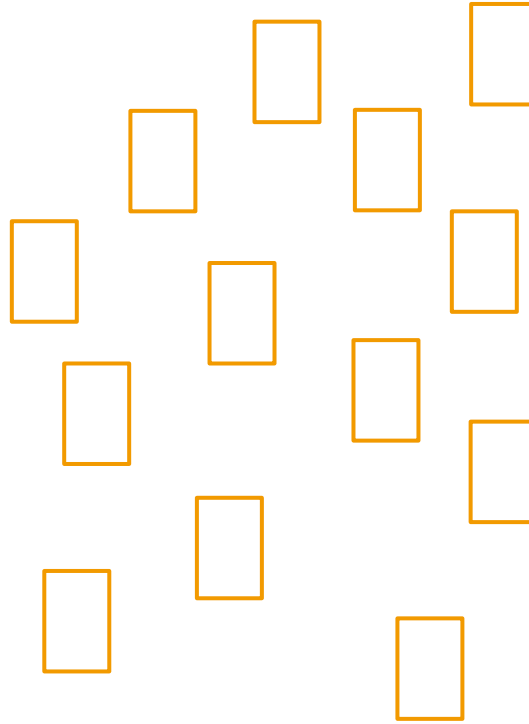


Reading fees are eliminated and costs are associated only with actual publication

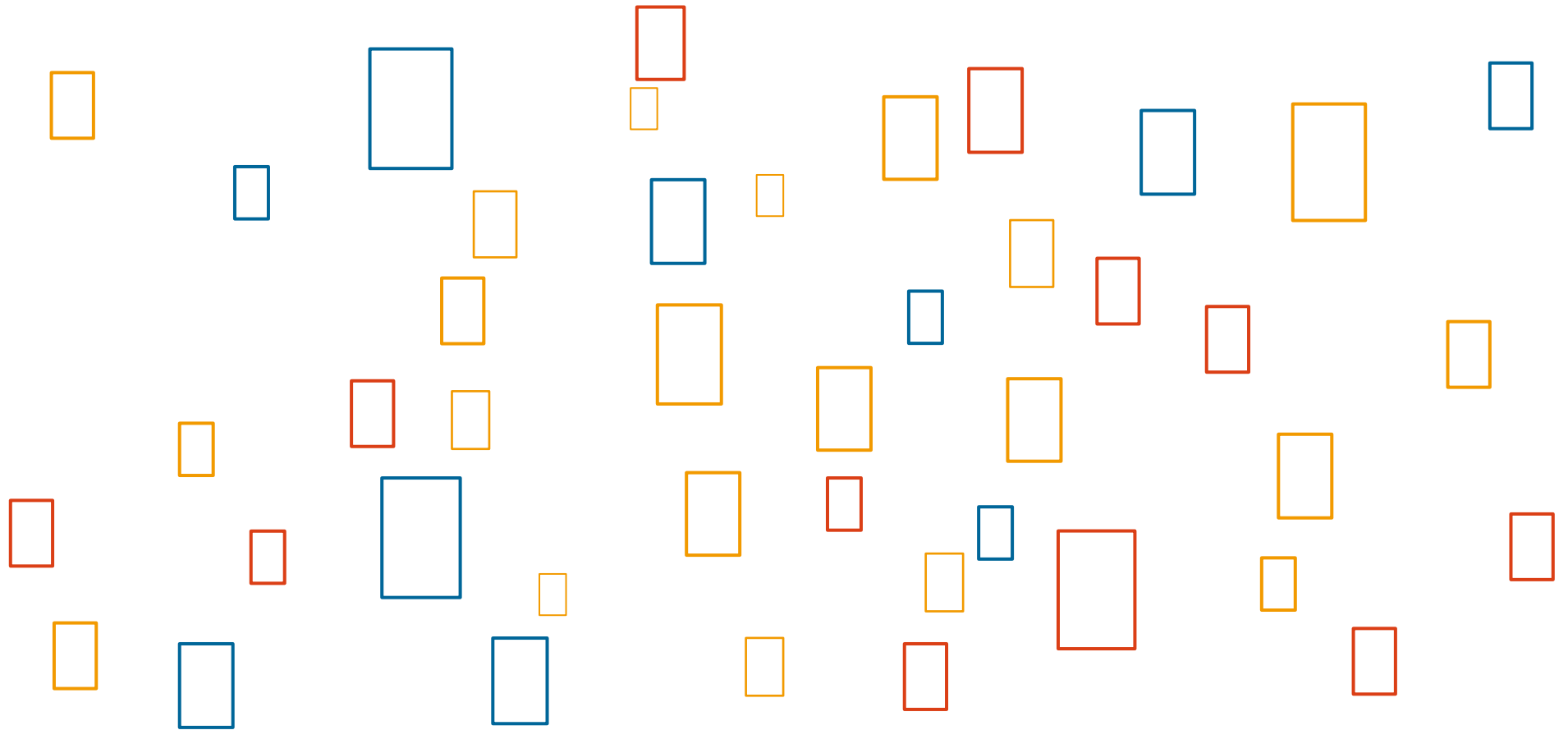
Publication Fee



Unbundled subscription costs allow money to flow where researchers choose to publish



Transparency and new market pressure enable cost differentiation according to service levels



Temporary and transitional

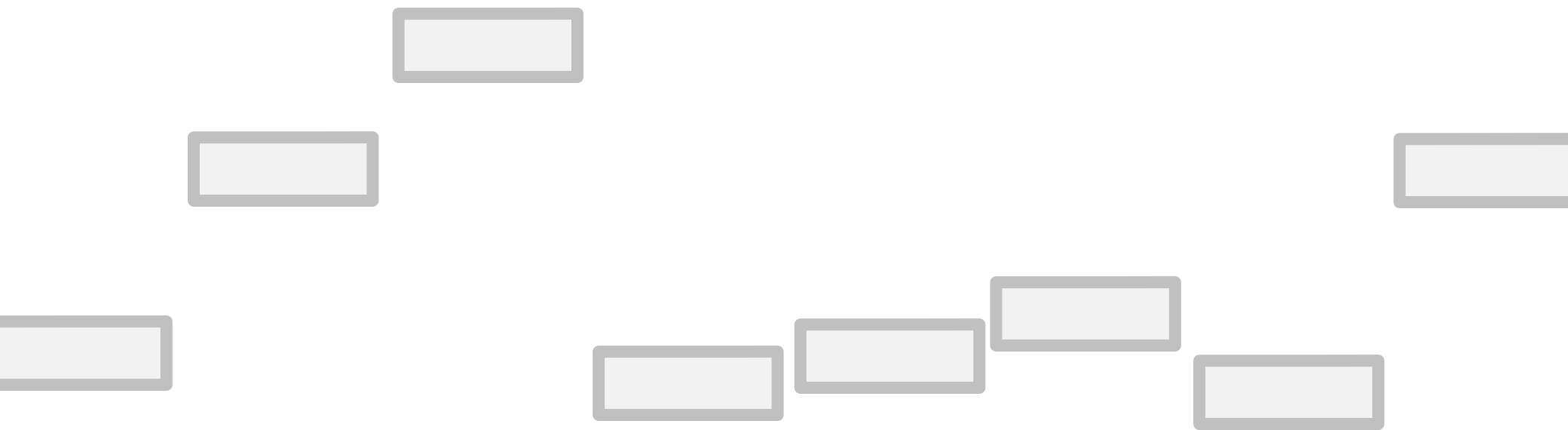


MIT and Royal Society of Chemistry Sign First North American “Read and Publish” Agreement for Scholarly Articles

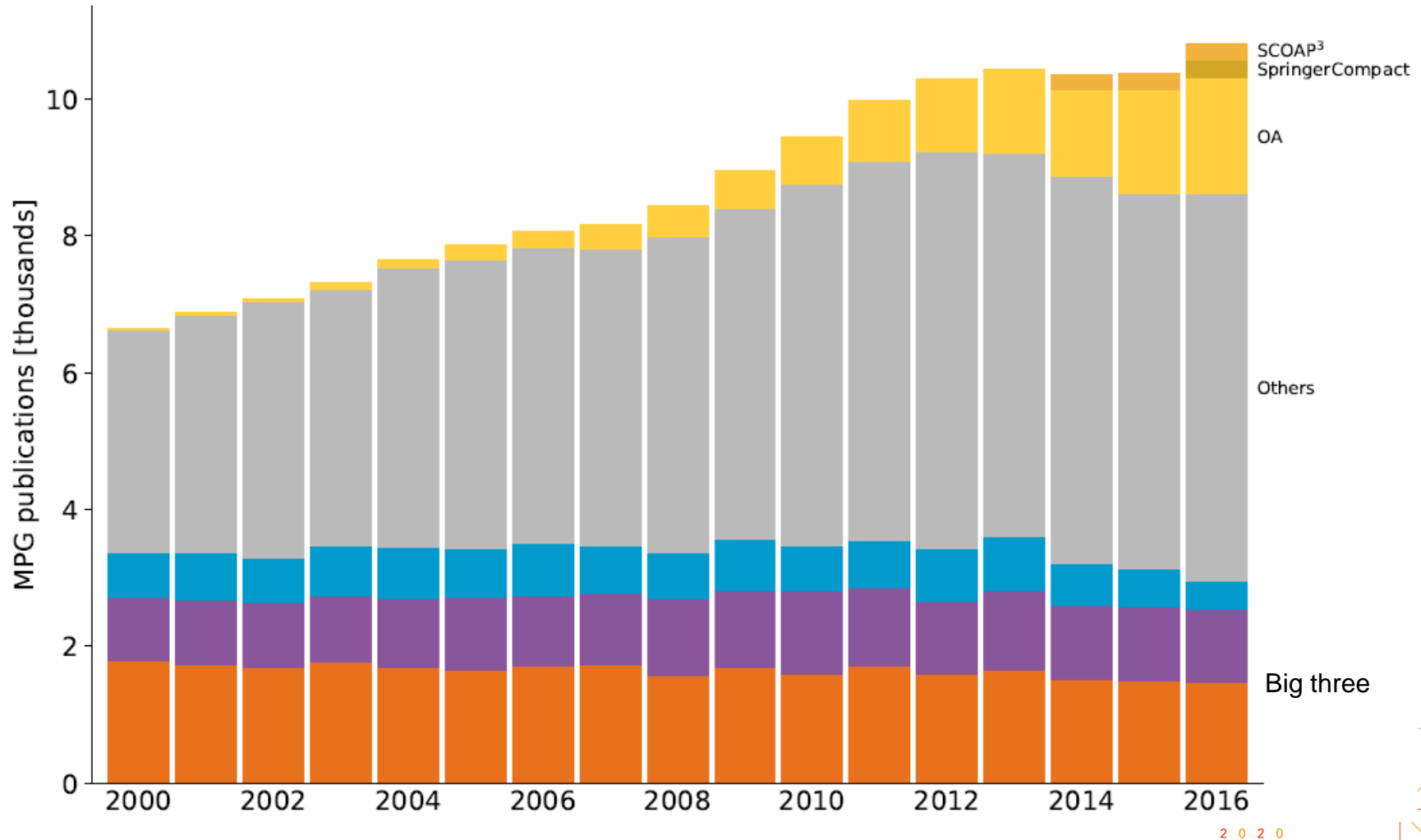
*Publisher represents that the Read & Publish model, with its foundation in “hybrid” open access – where some articles are paywalled and others published open access – **is a temporary and transitional business model whose aim is to provide a mechanism to shift over time to full open access.***

*The Publisher commits to informing Customer of progress towards this longer-term aim on an annual basis, and to adjusting Read & Publish terms based on **its progress towards full open access.***

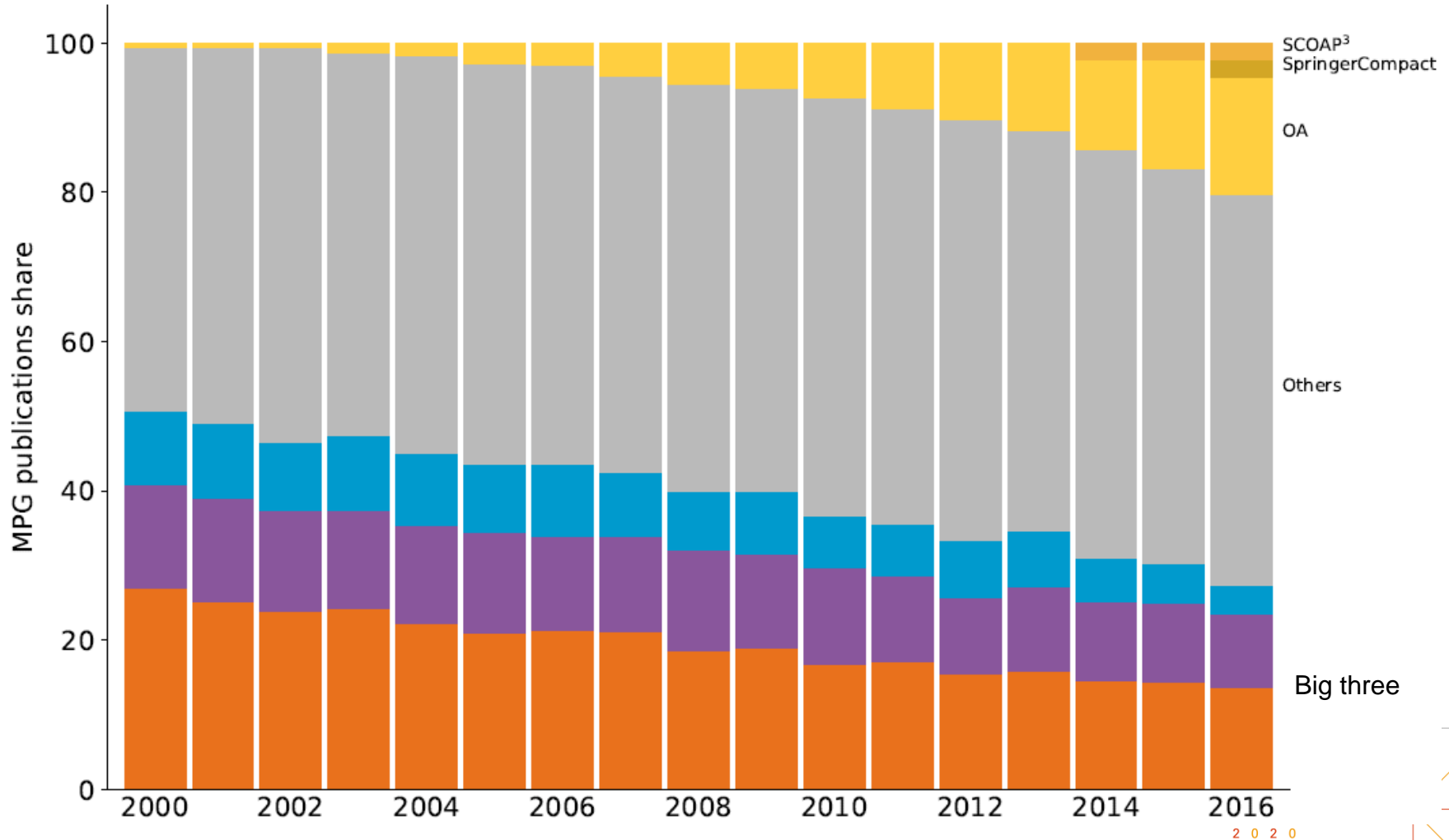
Starting point for transformative agreements: build the evidence base



Understand where your authors prefer to publish



Understand where your authors prefer to publish



Get new perspective on the (lack of) value of subscriptions

Example Evaluation Matrix*

Title	ISSN	Publications	Cites out	Downloads	Rank in field	OA share	List price
Journal A	-	17	53	2 536	1/82	11,3 %	43 149
Journal B	-	10	138	1 080	22/382	11,0 %	89 846
Journal C	-	12	90	1 556	4/245	11,2 %	30 847
Journal D	-	6	27	376	4/96	7,6 %	16 235
Journal E	-	4	16	893	4/138	47,8 %	31 310
Journal F	-	0	0	0	17/22	0 %	2 076
Journal G	-	0	0	0	?	0 %	4 944
Journal H	-	0	0	0	13/17	2,5 %	4 662

* Numbers are actual numbers from a mid-size university, but the journal titles have been changed



<https://www.slideshare.net/HenrikKarlstrm1/expanded-usage-metrics-for-literature-resources-105601917>



Get new perspective on the (lack of) value of subscriptions

Example:

Interaction breakdown of a title package

	Count	Share of package
Titles with no publications, downloads and citations	484	21 %
The above + titles with only downloads	1488	65 %
The above + titles with citations	1880	83 %
The above + titles with publications	2261	100 %



Understand your OA publishing costs



The Open APC initiative releases datasets on fees paid for Open Access journal articles by universities and research institutions under an Open Database License.

The following institutions from **Lombardia** have contributed to the OpenAPC project:

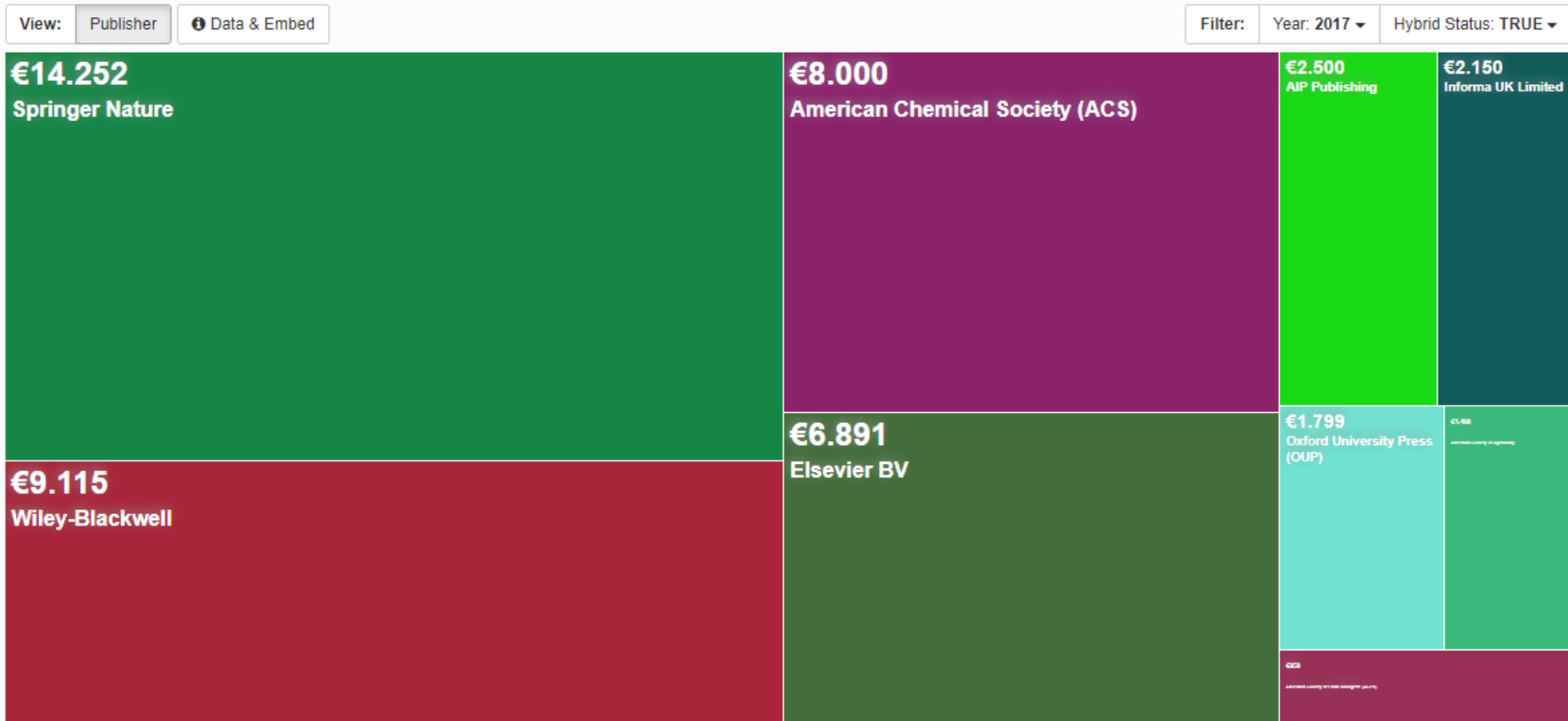
- **Università degli Studi di Milano**

Is your institution paying article processing charges for gold open access publishing? Join the OpenAPC Initiative, and help building an open data set on publishing fees!

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

Understand your OA publishing costs

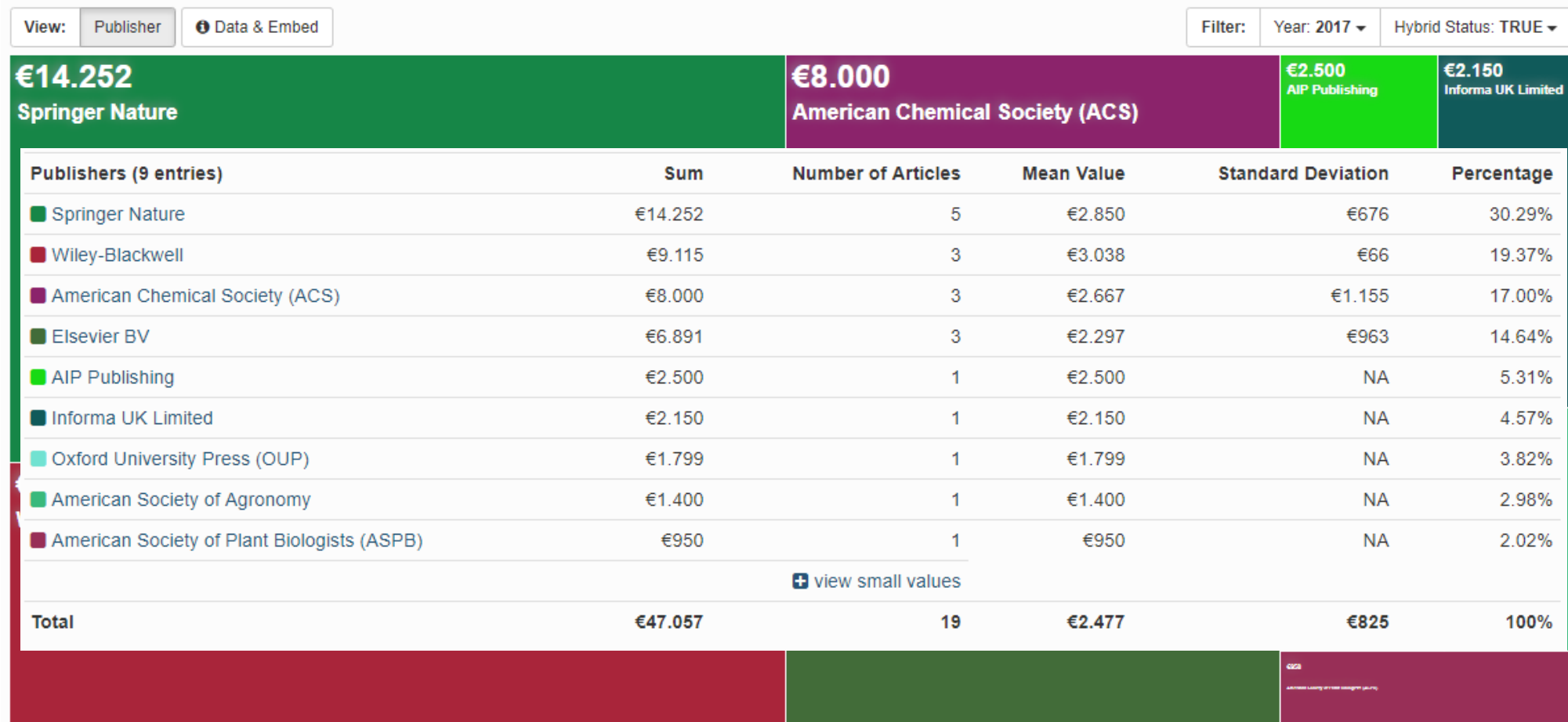
UNIVERSITÀ DEGLI STUDI DI MILANO



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

Understand your OA publishing costs

UNIVERSITÀ DEGLI STUDI DI MILANO



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

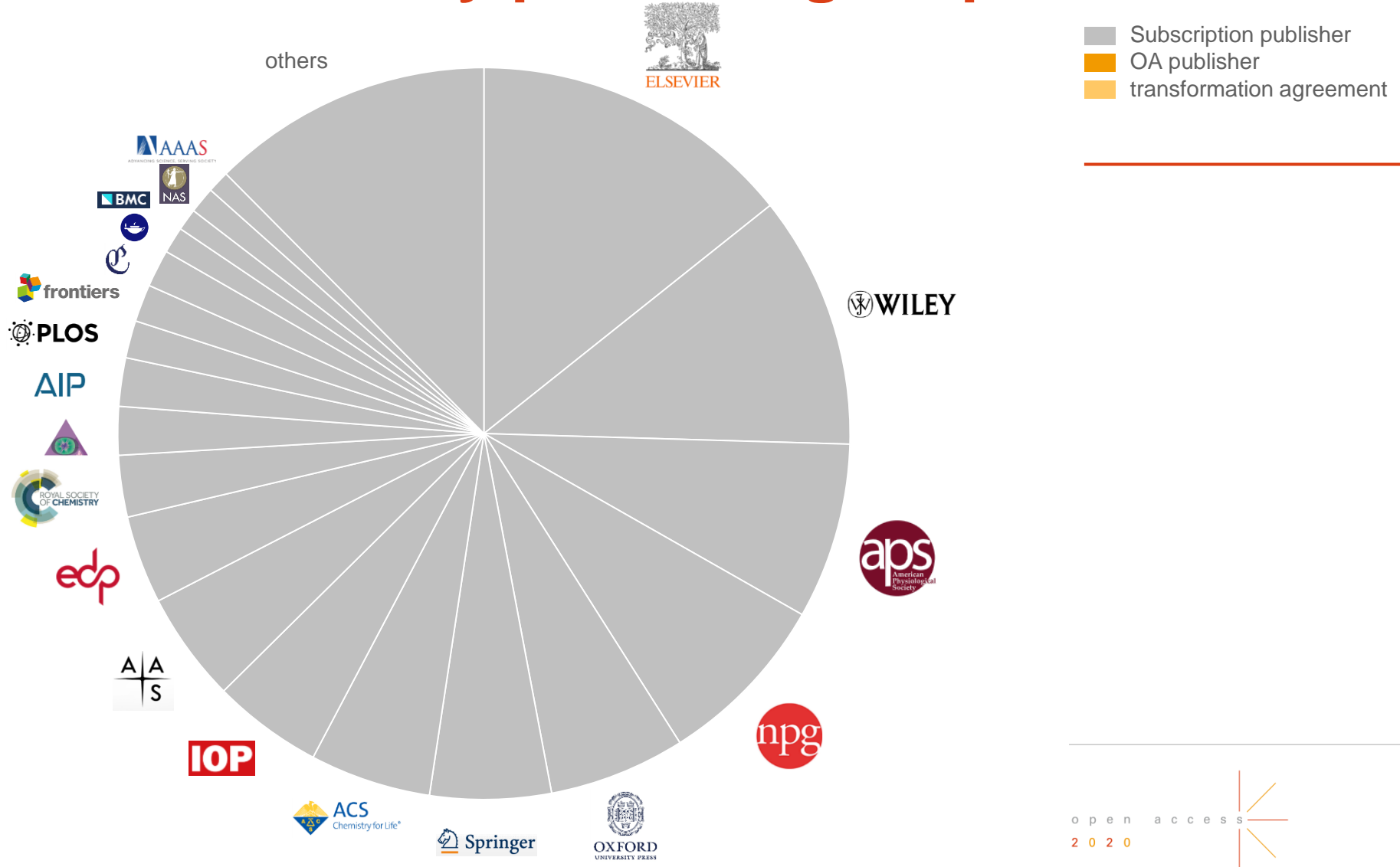


Then build your OA2020 roadmap

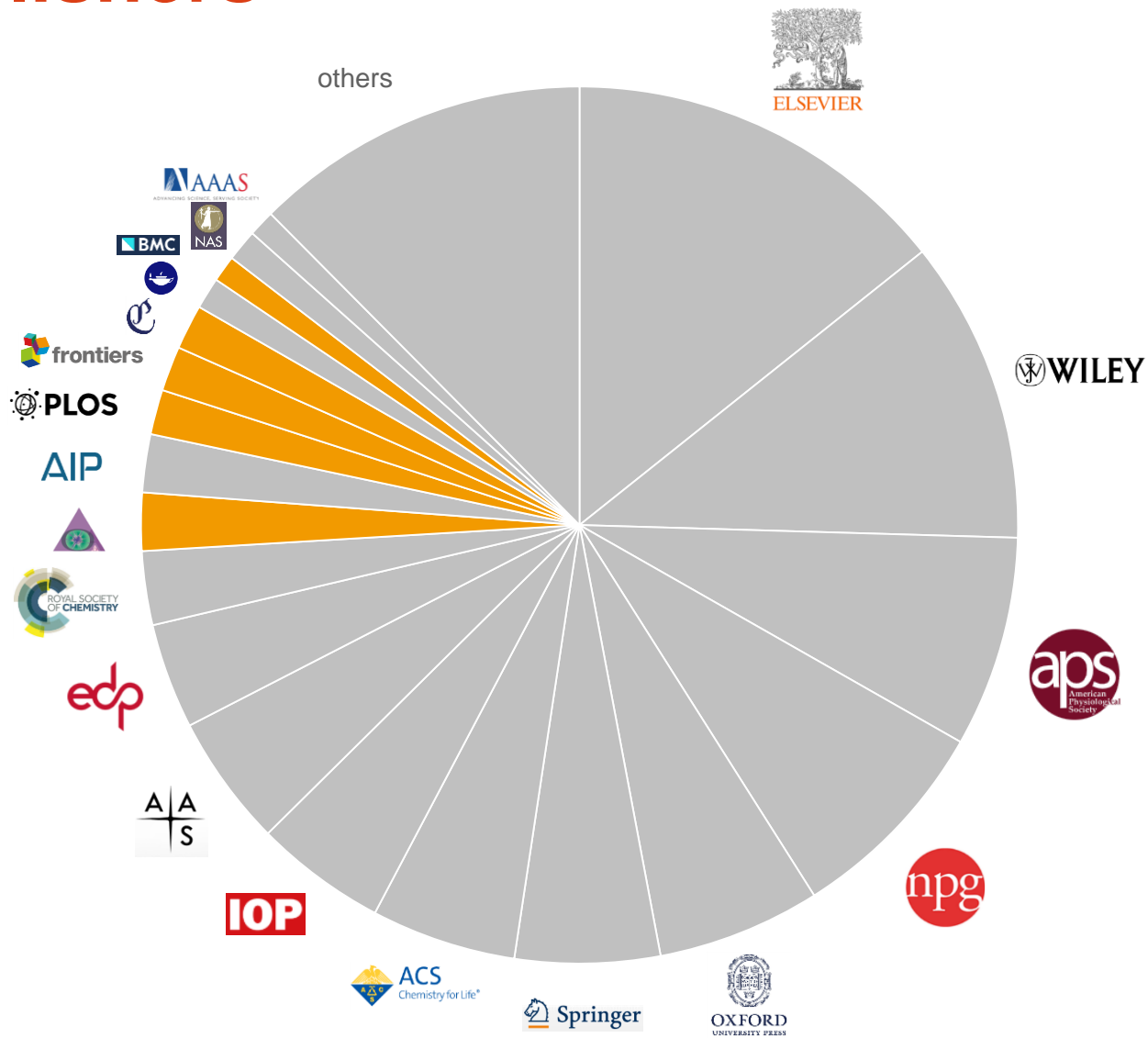
Divest of subscriptions - Invest in open access



Our OA2020 roadmap is grounded in the Max Planck Society publishing output 80/20

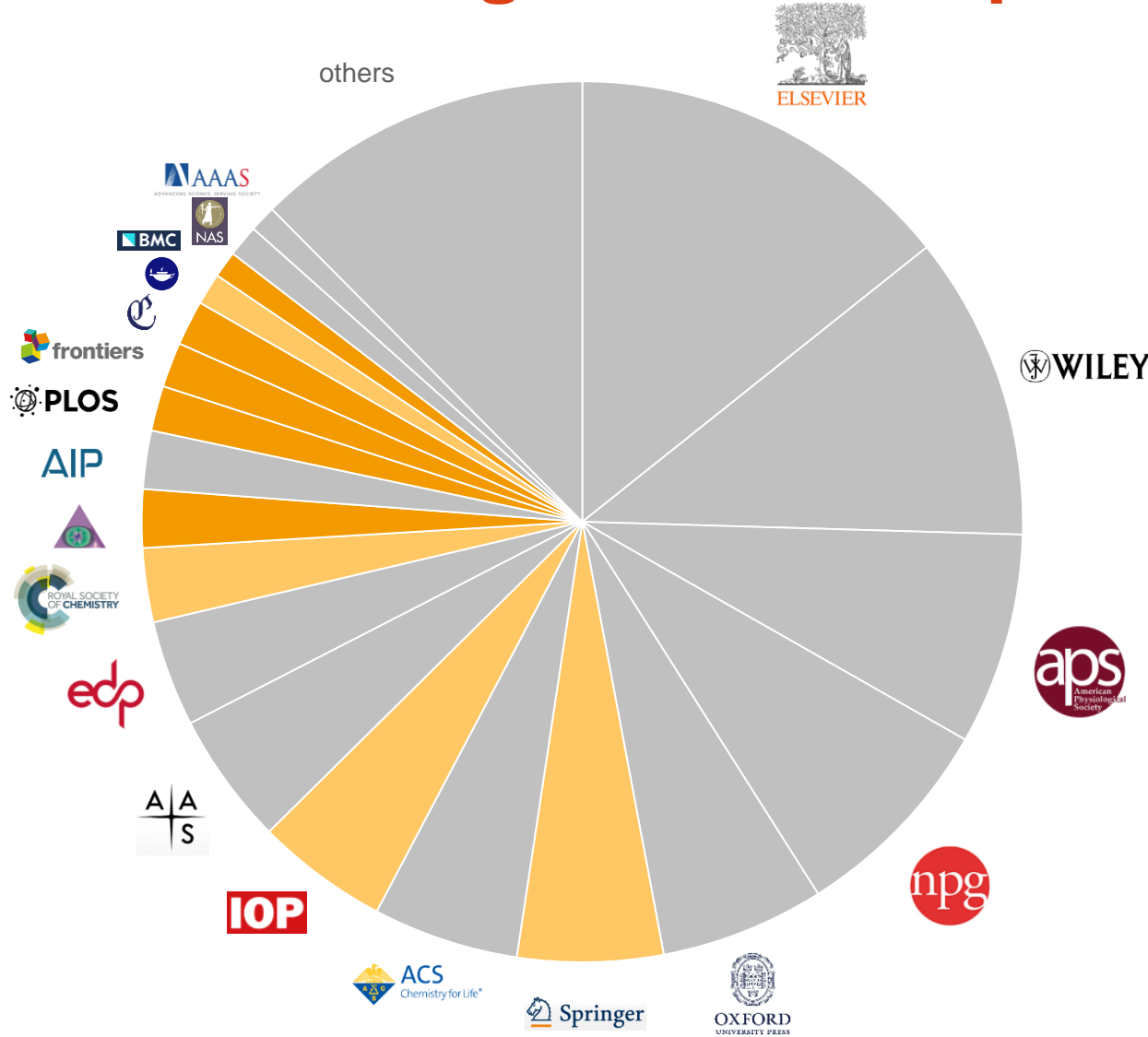


Five of our top 20 are gold open access publishers



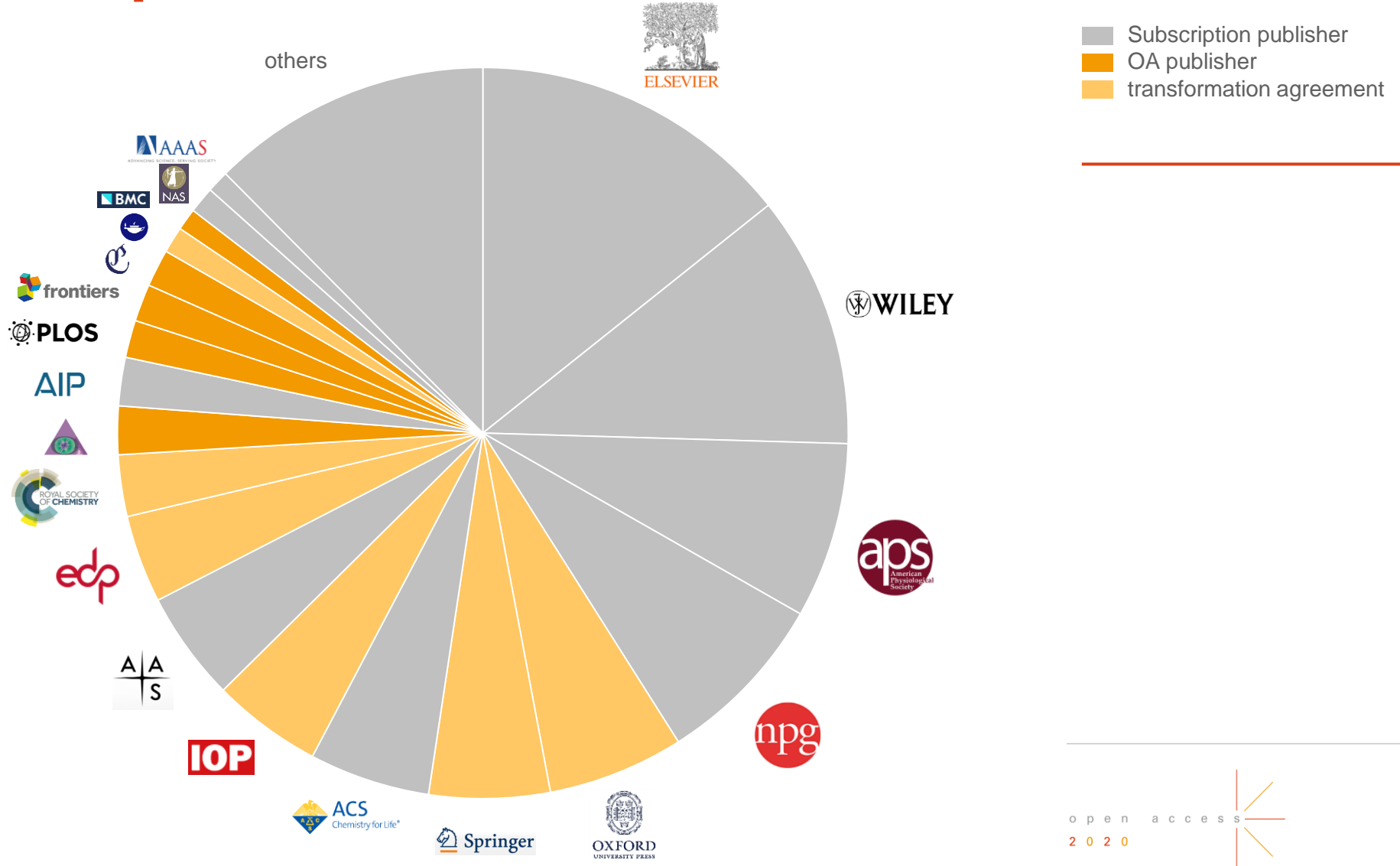
Subscription publisher
OA publisher
transformation agreement

Beginning in 2016, by 2018 we had four transformative agreements in place

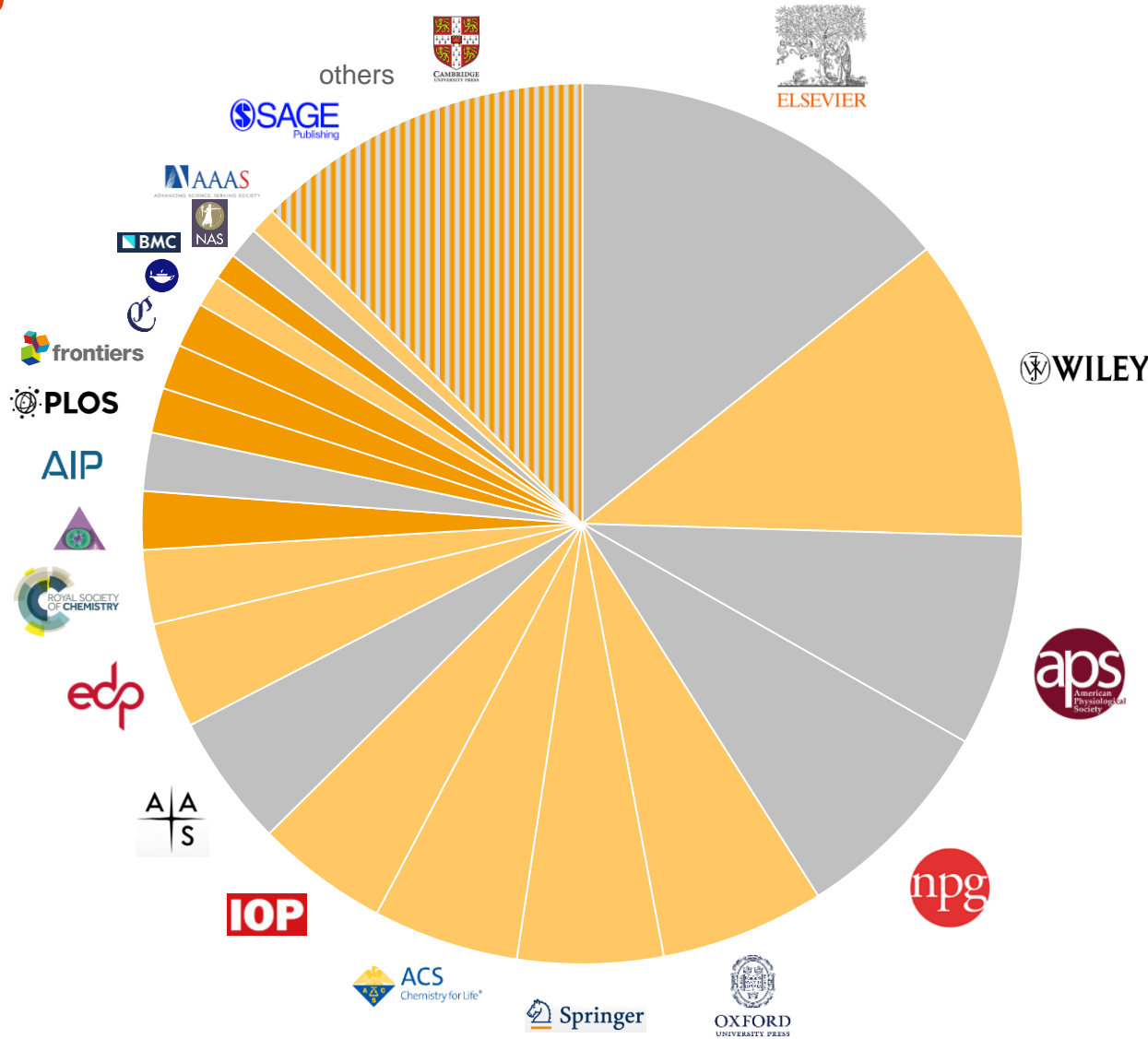


- Subscription publisher
- OA publisher
- transformation agreement

At the start of 2019, two further agreements were in place with EDP Sciences and OUP

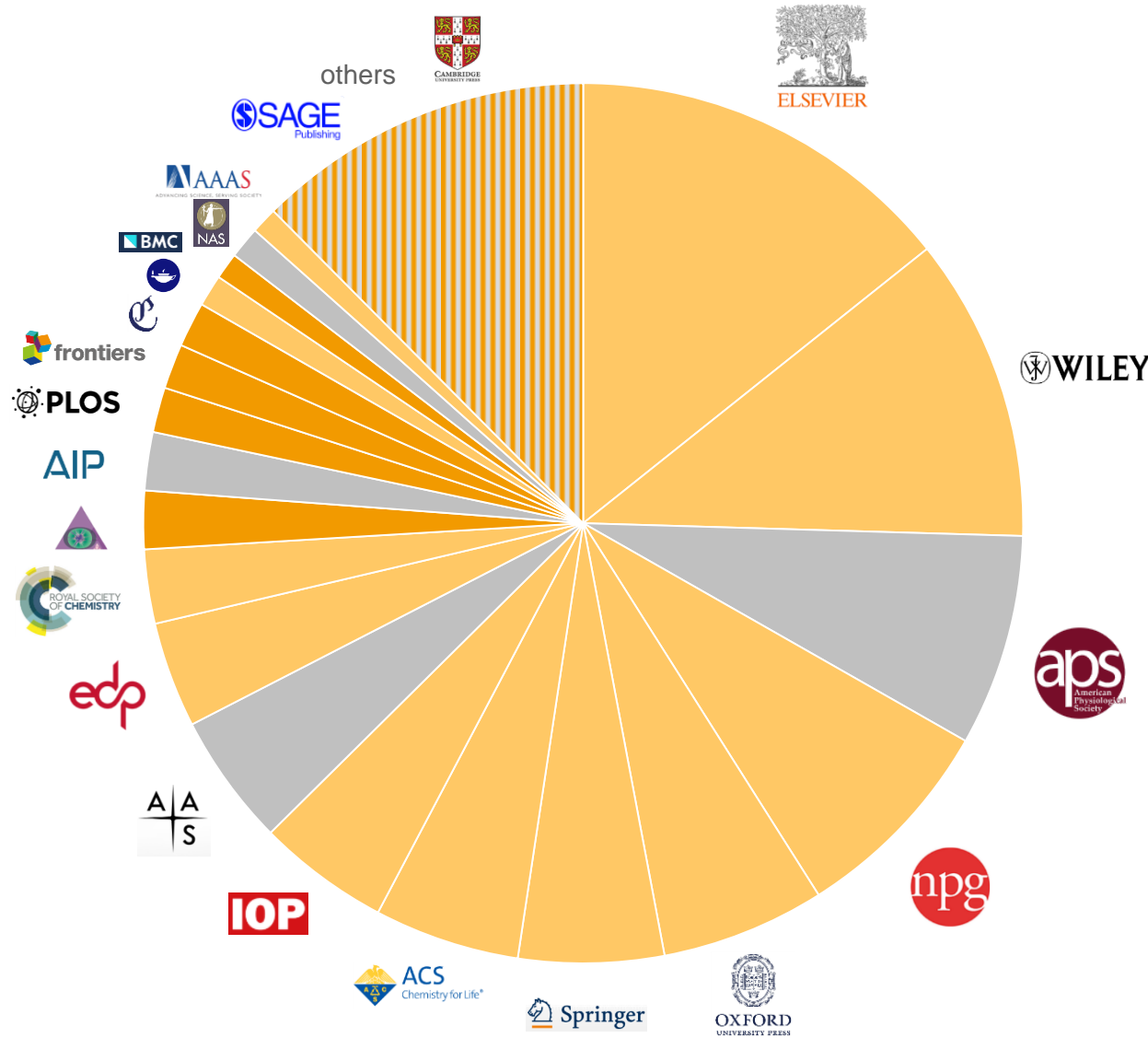


Today Wiley, by mid 2019 expect AAAS, ACS, Sage and CUP



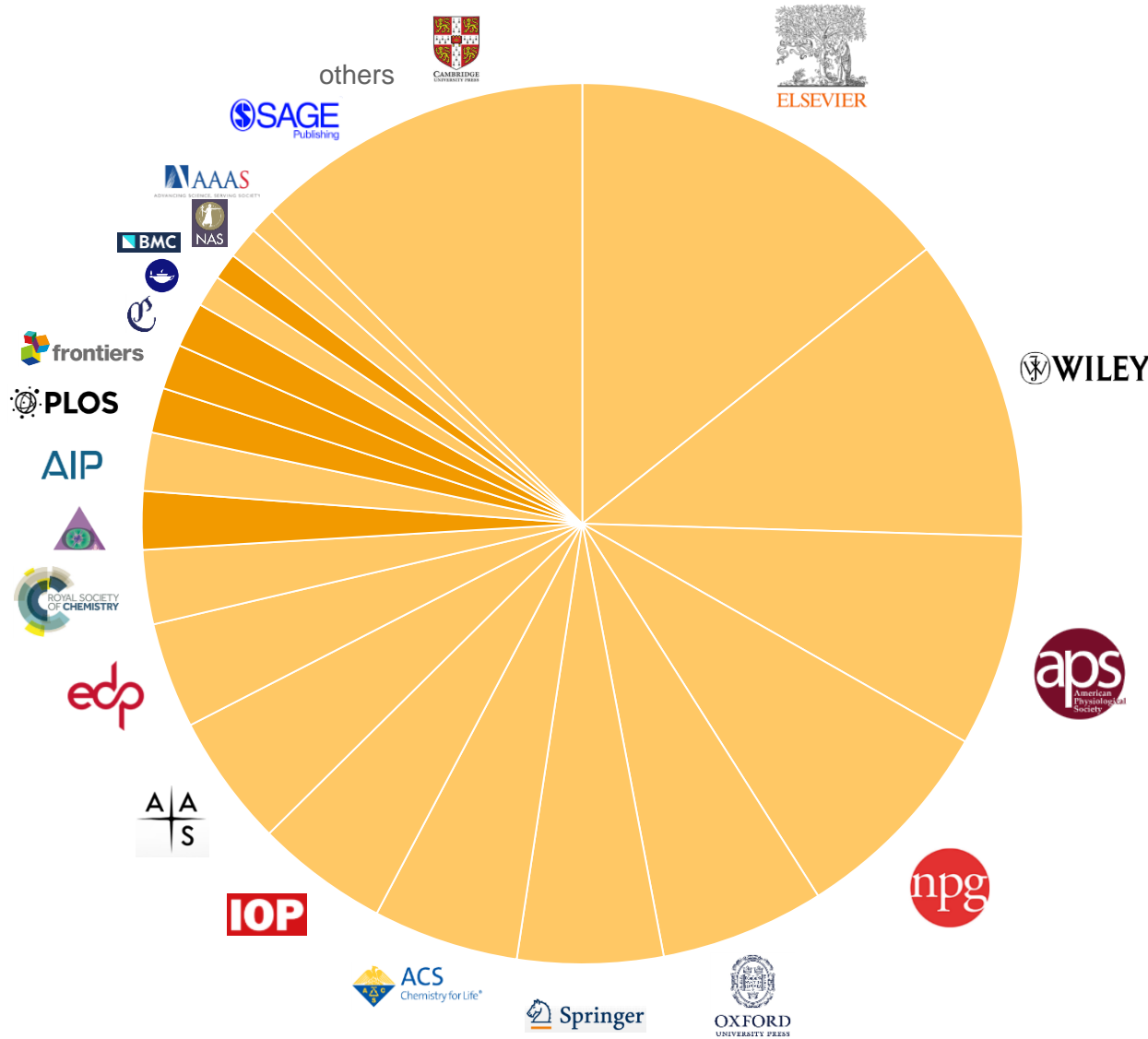
Subscription publisher
OA publisher
transformation agreement

Further possible effects of DEAL negotiations



- Subscription publisher
- OA publisher
- transformation agreement

Our goal: 100% of MPG outputs immediately open access



■ Subscription publisher
■ OA publisher
■ transformation agreement

20 countries account for 80% of global research output

Countries at B13	y2015RP	Share	Cumulative
Total	1,468,689	100%	
United States	297,093	20.2%	20.2%
China	250,375	17.0%	37.2%
Great Britain	69,613	4.7%	41.9%
Germany	68,952	4.7%	46.6%
Japan	60,448	4.1%	50.7%
South Korea	47,900	3.3%	54.0%
Italy	45,835	3.1%	57.1%
France	44,573	3.0%	60.1%
Canada	43,264	2.9%	63.0%
Australia	39,293	2.7%	65.7%
Spain	39,169	2.7%	68.4%
Brazil	32,968	2.2%	70.6%
Russian Federation	25,729	1.8%	72.4%
Netherlands	23,377	1.6%	74.0%
Poland	20,524	1.4%	75.4%
Switzerland	15,150	1.0%	76.4%
Sweden	15,069	1.0%	77.4%
Belgium	12,126	0.8%	78.2%
Denmark	10,139	0.7%	78.9%
Austria	8,144	0.6%	79.5%

Corresponding author output by country based on 2015 WoS data presented at the 13th Berlin Open Access Conference

The tipping point can be reached with as few as 100 institutions

# of institutions	Firm support	Median	Cumulative
United States	10-20	15	15
China	8-12	10	25
Great Britain	6-8	7	32
Germany	6-8	7	39
Japan	5-7	6	45
South Korea	4-6	5	50
Italy	4-6	5	55
France	4-6	5	60
Canada	4-6	5	65
Australia	4-6	5	70
Spain	4-6	5	75
Brazil	3-5	4	79
Russian Federation	3-5	4	83
Netherlands	2-4	3	86
Poland	2-4	3	89
Switzerland	1-3	2	91
Sweden	1-3	2	93
Belgium	1-3	2	95
Denmark	1-3	2	97
Austria	1-3	2	99

Corresponding author output by country based on 2015 WoS data presented at the 13th Berlin Open Access Conference

Aligned to face publishers at eye level



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

Global consensus via OA2020

o p e n a c c e s s
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be informed take action collaborate learn more

FINAL CONFERENCE STATEMENT

14th Berlin Open Access Conference

Participants from 37 nations and five continents, representing research performing and research funding institutions, libraries and government higher education associations and rectors' conferences, associations of researchers and other open access initiatives gathered at the *14th Berlin Open Access Conference* held 3-4 December 2018 in Berlin. They affirmed that there is a strong alignment among the approaches taken by *OA2020*, *Plan S*, the *Jussieu Call* and others to facilitate a full and complete transition to open access. The statement that follows represents the strong consensus of all of those represented at the meeting.

We are all committed to authors retaining their copyrights,

We are all committed to complete and immediate open access,

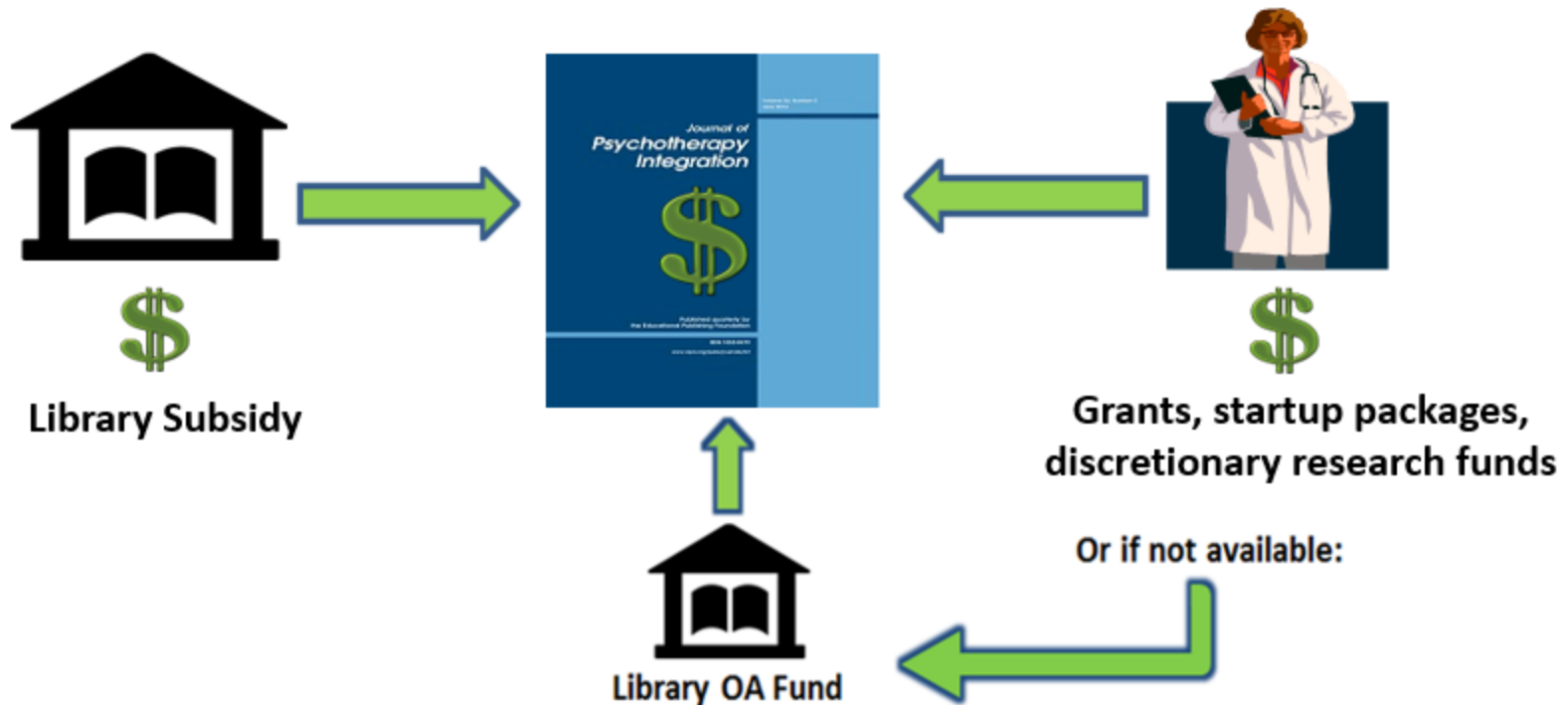
We are all committed to accelerating the progress of open access through transformative agreements that are temporary and transitional, with a shift to full open access within a very few years. These agreements should, at least initially, be cost-neutral, with the expectation that economic adjustments 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.

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

CDL approach

Sustainability Strategy: Multi-Payer Model



If necessary, step away from the table

Max Planck Society cancels Elsevier subscription over open access

Organisation follows nearly 200 German research organisations in cutting ties with publishing giant



Germany's Max Planck Society – one of the world's largest research organisations – is cancelling its subscription to Elsevier journals in a bid to secure a decisive shift towards open access publishing.



<https://www.timeshighereducation.com/news/max-planck-society-cancels-elsevier-subscription-over-open-access>



Alternative access methods provide leverage

HOW TO GET THE PDF?

Alternatives to the publisher version of full-text journal articles

1 UNPAYWALL

Get full-text of research papers as you browse, using Unpaywall's index of 10 million legal, open access articles. For CHROME | Firefox <http://unpaywall.org/>



2 GOOGLE SCHOLAR BUTTON

Easy access to Google Scholar from any web page. Find full text on the web or in your university library. Select the title of the paper on the page you're reading, and click the Scholar button to find it. for CHROME | Firefox <https://addons.mozilla.org/nl/firefox/addon/google-scholar-button/>



3 KOPERNIO

Get instant notifications of available versions from your library or otherwise. Promising features like a personal Locker, saved articles and more. <https://kopernio.com/>



4 OPEN ACCESS BUTTON

Free, legal research articles and data delivered instantly or automatically requested from authors. You can do this from the website, or install a browser extension/API. <https://openaccessbutton.org/>



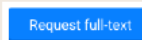
5 HASHTAG #ICANHAZPDF

Use the hashtag #icanhazpdf together with a link to the requested publication; if somebody has access, they can send you the PDF. <https://twitter.com/search?q=%23icanhazpdf>



6 REQUEST COPY VIA AUTHOR

You can always request a copy directly from the author ; often not the fastest way, but traditionally a well-used route to get pdf's. Many researchers have joined the social network for scientists ResearchGate. And many make their pdf's available inside ResearchGate for download, or offer the option to request it from the author. Other examples social networks: in Academia.edu and Humanities Commons.



7 REQUEST PDF VIA LIBRARY

This is not free, but often a fast option, and often much cheaper than buying it from the publisher. Libraries usually have special rates for staff, phd's and students! Ask your library for advice.



[Overview Dutch University Libraries](#)

8 NARCIS

NARCIS provides access to scientific information, including (open access) publications from the repositories of all the Dutch universities, KNAW, NWO and a number of research institutes, datasets from some data archives as well as descriptions of research projects, researchers and research institutes. <http://www.narcis.nl/>



9 OSF PREPRINTS

OSF offers access to over 2 million open access preprints. <https://osf.io/preprints/>



10 DIRECTORY OF OPEN ACCESS JOURNALS

DOAJ offers access to over 10.000 open access journals. <https://doaj.org/>



11 SCIENCE OPEN

Science Open contains over 37 million articles, a large part in open access. <http://www.scienceopen.com/>



12 SCI-HUB

If all else fails, you may be tempted to use Sci-Hub. Do realize, however, that in many countries, including The Netherlands, the use of Sci-Hub is considered as an illegal act, as it involves content protected by copyright laws and licensing contracts.

http://www.openaccess.nl/sites/www.openaccess.nl/files/documenten/howtogettothepdf_march_2018.pdf



A pathway for Plan S compliance



Why Plan S

10 Principles

Funders & support

Implementation

11. Transformative Agreements

cOAlition S recognises models that avoid non-transparent and non-fair pricing, such as 'offsetting' and 'read & publish' models as a way of achieving compliance with Plan S during a transition period. cOAlition S will require that the details of such agreements are listed on a website to ensure transparency, and encourages consortia to develop shared requirements for this. cOAlition S intends to collaborate with the [Efficiency and Standards for Article Charges \(ESAC\)](#) initiative to ensure registration and dissemination of agreements.

COAlition S acknowledges existing transformative agreements. However, from 2020 onward, new agreements need to fulfil the following conditions to achieve compliance with Plan S:

- › The contracts (including costs) of such agreements need to be made publicly available.
- › Contract negotiations need to be concluded before the end of 2021, and contracts may not last for longer than three years.
- › The negotiated agreements need to include a scenario that describes how the publication venues will be converted to full Open Access after the contract expires.

The effects of the transformative agreements will be reviewed in 2023.

<https://www.coalition-s.org/feedback/>

This just in!

“All German research articles in Wiley journals to be published open access under new transformative agreement”

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

15. January 2019



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.hrk.de/press/press-releases/press-release/meldung/wiley-and-projekt-deal-partner-to-enhance-the-future-of-scholarly-research-and-publishing-in-germany/>

DEAL negotiation timeline



Preparatory steps

Establishing the project structure

Selecting publishers

Obtaining negotiation mandates

Analyzing data

Resolving legal issues

2016: Start of negotiations with Elsevier

2017: Start of negotiations with Springer Nature and Wiley

2018: Negotiations continued

2019: First agreement concluded

DEAL organizational structure





DEAL – Wiley Agreement

Publish & Read (PAR) model

Euro 2750 PAR fee (bridge)

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

Extended to ~700 public and privately funded research institutions

Includes permanent access to full backfile from 1997

One-time fee of 2M



DEAL – Wiley Agreement

Enabling transformation

- ~10.000 articles a year complete and immediate open access
- Authors are guaranteed academic freedom
- Authors retain copyright, can use and re-use their work
- Scholars and society learn from and build on the latest research

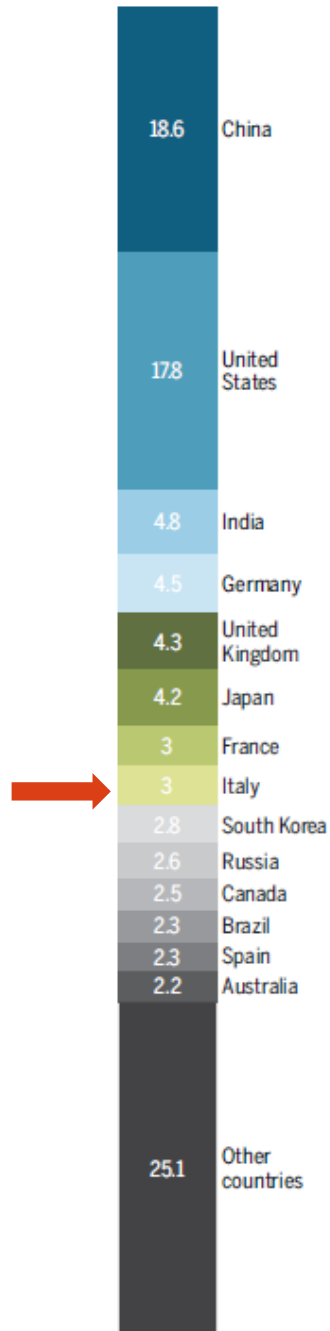
- Departure from the subscription logic
- Costs are transparent and transactions at the article level

- Operational compliance with open access workflows
- Forward-looking processes and systems
- Prepare for transition at scale



How long will the transition take?

That depends on us!



Paper players

Percentages of the world's 2016 science articles by country

<https://www.sciencemag.org/news/2019/01/will-world-embrace-plan-s-radical-proposal-mandate-open-access-science-papers>

Resources

Transformative agreements (ESAC Initiative)

<http://esac-initiative.org/>

Data on Article Processing Charges (OpenAPC Initiative)

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

Open Access 2020 Executive Summary

<https://oa2020.org/Executive-Summary.pdf>

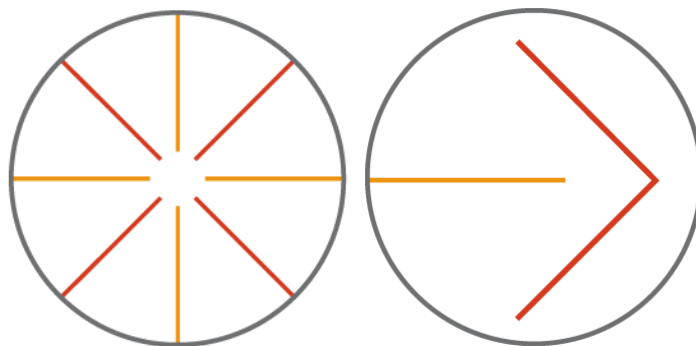
Open Access 2020 Resources

https://oa2020.org/learn_more/#gain

Participate in the Open Access 2020 Community

contact@oa2020.org

Grazie!



Participate
in **OA2020**

Accelerate
the transition

Colleen Campbell
Open Access 2020 Initiative
Max Planck Digital Library

campbell@mpdl.mpg.de
[@ColleenCampbe11](https://www.instagram.com/ColleenCampbe11)

<https://oa2020.org>