

ESAC Workshop on Cost Distribution Frameworks for
Transformative Agreements
Mnichov, Německo, Max Planck Digital Library
červen 28-29, 2022

Účastníci:

Jiří Jiráť (financováno z rozpočtu prostředků projektu CzechELib) Praha, červen 2022



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1. Účel cesty

Účast na akci ESAC Workshop on Cost Distribution Frameworks for Transformative Agreements. Dvoudenní specializovaný workshop zaměřený na sdílení informací o existujících nebo plánovaných modelech interního stanovení plateb členských institucí v rámci transformačních smluv. Workshop byl organizován Max Planck Digital Library - pionýrem v oblasti sjednávání licencí zahrnujících Open Access.

Přínos akce spočíval v získání detailních a komplexních informací o tom, jak připravit strategii pro přechod na OA licence a sdílení informací s jinými zeměmi.

2. Časový průběh cesty

27. 6. 2022 vlakem Praha - Mnichov

28. - 29. 6. 2022 celodenní workshopy

29. 6. 2022 vlakem Mnichov - Praha

3. Průběh navštívené akce

Od úterý rána 28. 6. do středy 29. 6. probíhal intenzivní workshop.

Jeho program byly prezentace a diskuse jednotlivých zástupců konsorcií (Austrálie, Kanada, Švédsko, Švýcarsko, Norsko, Česká republika, Rakousko, Německo, Velká Británie, University of California, Holandsko).

Anotace workshopu:

„In addition to driving the transition of scholarly journals to open access, transformative agreements are instrumental in helping the academic and research community to reorient their current investments in subscriptions around open access publishing, instead. Yet, while it is widely acknowledged that, globally, there is enough money in the subscription system to support a transition of scholarly journals to open access, it is equally true that the money is not always where it is needed.

Helping libraries gradually and sustainably adapt their investments to reflect the new open publishing services needed by authors is a momentous challenge and opportunity for library consortia, and while current consortium cost distribution models are deeply rooted in subscription-based value metrics, a variety of new and dynamic frameworks are being developed.

This invitational workshop will bring together representatives from library consortia whose transformative agreement strategies are most advanced, for an exchange on the new cost distribution frameworks they have developed (or are developing) to help smooth the transition to a scholarly publishing paradigm based on open access for their library members. In addition to sharing and discussing their framework criteria, methods of data modeling, and implementation processes, participants will contribute to a workshop output that will be published on the ESAC website as a reference for other library consortia approaching this process.“



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Výsledky krátkého přípravného dotazníku (před workshopem):

Otázky:

- What aspects of new or transitional cost distribution frameworks would you like to address in this workshop? Based on your experience, what parameters or principles should be considered when creating a new or transitional consortium cost-distribution framework based on open access publishing?
- How are experiences with the first frameworks? What works, what doesn't? Are consortia already adapting to new frameworks after their first experiences?
- How fair and transparent has it been and how fair and transparent will it be in the future?
- international or at least EU-level cost-sharing?; managing publishers' expectations (ie. PAR-fee too high), also for smaller consortia
- We should address the dilemma that consortia needs a timeframe to change the distribution costs and at the same time have the transitional aspect in mind. Do we not cement a new model based on historic prices?
- Challenges in migrating from traditional (historic spend) cost allocations to those based on publication output
- developing a principles-based framework for transparently and equitably distributing costs in a consortial environment, moving from a predominantly pay-to-read to pay-to-publish model

Odpovědi účastníků:

100% - mitigates risk in the case of unexpected changes in publishing trends

86% - grants members a specific timeframe to gradually adjust from pay to read to pay to publish

86% - is rational and easy to explain

70% - enables cost reduction for some members

57% - ensures that variations in fees do not exceed a certain percentage year on year

43% - leads to a scenario in which member fees are based fully on their publishing output

43% - simplifies or alleviates administrative burden on members

29% - enables the same level of service for all members

29% - can be implemented without disruption to the consortium (cash flow)

14% - enables cost reduction for all members

14% - is fitting to the current situation

Přehled přístupů níže.

Aby nedošlo ke zbytečnému zkreslení informací, jsou vloženy části prezentací v originálu.



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Principles and objectives that are especially important in your community for the development of a transitional cost distribution framework

- ✓ Clarity
- ✓ Simplicity
- ✓ Transparency (for consortium members)
- ✓ Fairness
- ✓ Till now: objective was to **move but not too fast**. Increases had to be bearable!
- ➞ Working group + testing models including some that we are renewing for 2023 (Smooth)
- ➞ Maybe mood for more drastic changes?



Springer Compact 2016 - 2018

Our first „**read and publish agreement**“

- ⓘ First transformative agreement with a large publisher



**Lump sum = set number of articles
+ reading**



- ⓘ On a consortium level. APCs on a first-come first-served basis.
- ⓘ Cost allocation: based on previous spend

Springer Compact* 2019-2021 – new cost distribution model

Basis for the model

- ✓ 2016-2018 publishing patterns used as a basis
- ✓ Market value of APCs vs subscription spend
- ✓ Gradual move towards a more publishing-output based model



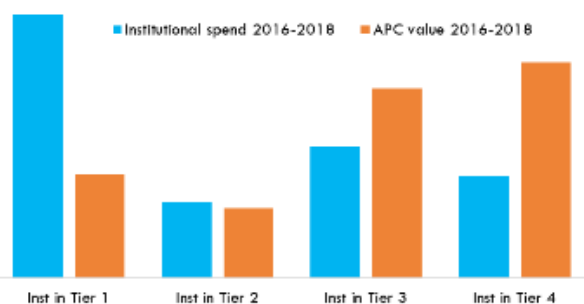
FWF

Tiers 1 to 4

- Each institution assigned to a Tier
- Different annual increases applied to each Tier
- Lowest in Tier 1, highest in Tier 4
- Increase must **remain under 10% per annum**
- Reason: must be a **gradual change**

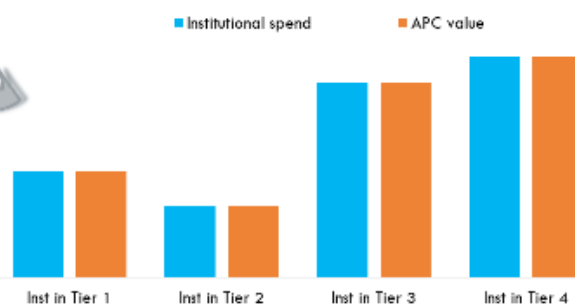
*Also rolled out for the 2nd cycle of the *Wiley* agreement

Aim: gradual move towards a publishing output-based model over time



2016-2018 – an example for each Tier

This is what the future should look like



Our shortlist for testing: 3 models

a variation on the „**Smooth Transition**“ model, developed by Nina Schönfelder @ Bielefeld University. It combines:

- The share of OA content within the publisher's global content
- The institution's publishing output
- APCs
- +
- The institution's historic spend

Tiering model: (as used for our Springer and Wiley contracts): based on the ratio between

- existing expenses vs APC value
- different price increases for each Tier

„the one third model“

- 1/3 of fees based on FTEs,
- 1/3 on historic spend
- 1/3 on publishing output

Na modelech pracuje pracovní skupina složená z různých institucí.

Švédsko

používají model 90/10.

90 % - publishing fee (podle publikační činnosti)

10 % - entrance fee (read), založené na velikosti instituce

pozn.: ale adaptivně také přepínají na 80/20 :D

Previous cost allocation model adopted under the subscription regime

- Many different price models in order to achieve "fair" and transparent pricing
- Different parameters with different weight for the reallocation for reading used to be based on:
 - Previous print subscription spend
 - Number of FTE – students and/or researchers
 - Number of FTE's in specific subject areas e.g. chemistry, physics, law
 - Academics/non academics



Photo by Jens Gustavsson, KB



Recommendations of the study

- Study by Robert van der Vooren in 2019
- Develop the **parameter entrance fee** by distinguishing small and large organisations
- Apply **gradual introduction**
- Implement the new model to **as many publishers as possible** at the same time
- If applying tiers on publications, include them in the 3 to 5 year gradual introduction - will help absorb the immediate impact and secure a gradual fade out of tiers
- Cooperation with **research funders** and or government is necessary



Link to the study: <https://urn.kb.se/resolve?urn=urn:nbn:se:kb:publ-49>



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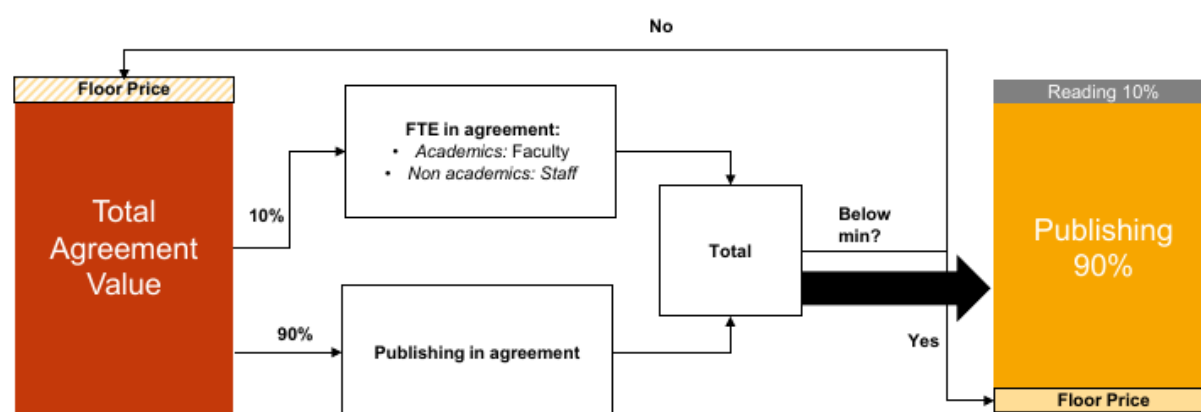


Internal redistribution model 90/10

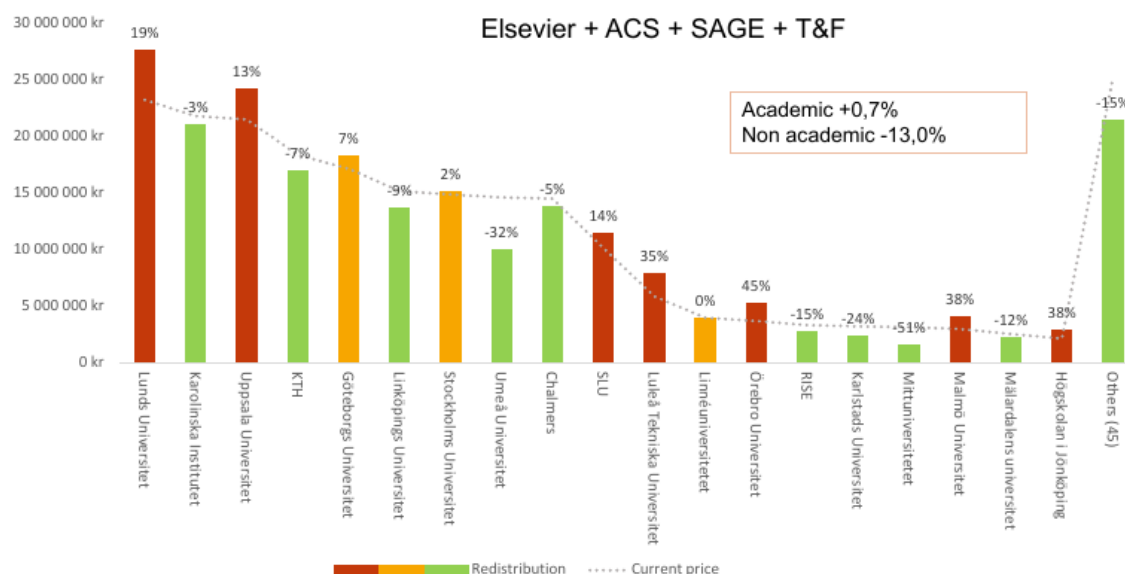
- Internal cost distribution model needs to be redesigned with the introduction of transformative agreements
 - Pay to publish rather than pay to subscribe
- New model is implemented from 2022
 - Based on recommendations from 2019 study
 - 90% publishing fee, based on publishing output
 - 10% entrance fee (i.e. read fee), based on institution size
- Less overall impact if several agreements are redistributed at the same time
- Not so easy to implement due to historical prices



Redistribution model



Outcome internal redistribution



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Německo

připravuje „next-generation model for DEAL“: „Change by approach“ (podle Willy Brandta: "Wandel durch Annäherung")

starý model - příliš sofistikovaný a nakonec nepřijat s nadšením (málo pochopitelný, příliš shora)

nový model - pracovní skupina (ředitelé knihoven), MPDL dodává data

starý model o rok prodloužen, aby připravili nový

pracovní struktura pro projekt DEAL: GROUP

- SUBGROUP: data modelling
- SUBGROUP: communication
- SUBGROUP: negotiation

Principles and objectives



- The existing DEAL Agreements are national all-in agreements with around 500 participating institutions (by far the largest consortium ever in the country)
- ca. 97% of publications are covered by participating institutions
- As of 2022, all major German research organizations are shareholders of MPDL Services gGmbH (as the legal entity to operate the DEAL agreements)
- The political goal is to move away from the subscription system and to (gradually) arrive at a publication based cost distribution model ("paper charge")
- Additional support from DFG and political bodies ("GWK" = representatives from federal and state governments)



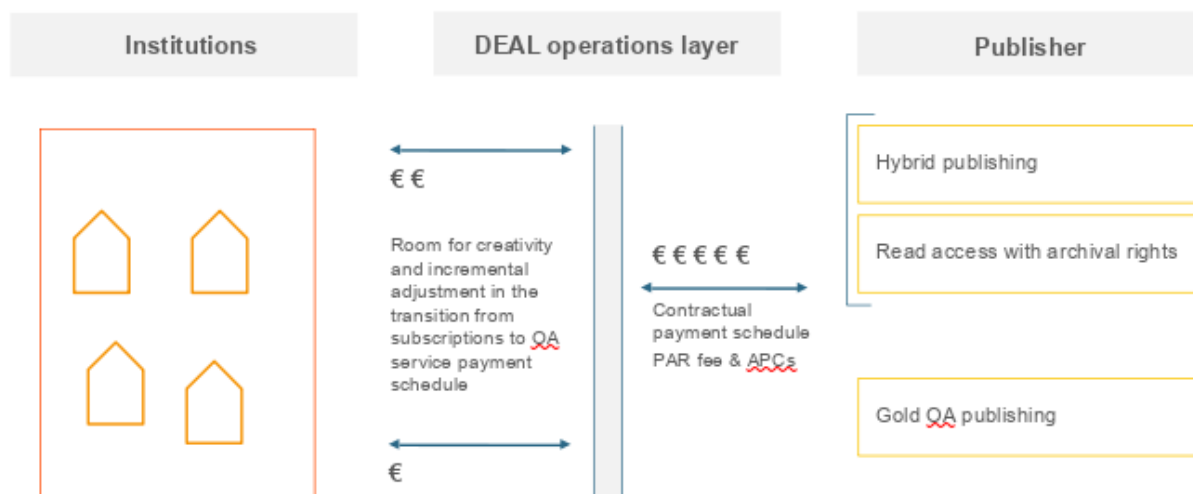
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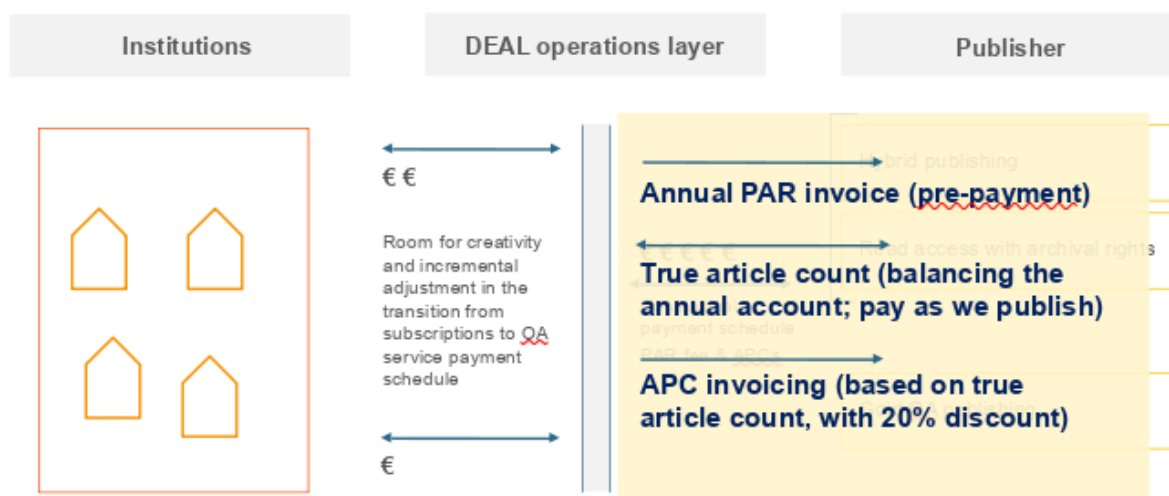
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Cost distribution for the existing DEAL agreements



Cost distribution in the DEAL consortium: (a) publisher facing money flows



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Cost distribution in the DEAL consortium: (b) institution facing money flows



Tady poznámka - to „voluntary“ totiž není pravdivé, ale chybou v komunikaci došlo k rozšíření mylné informace o tom, že doplatek je dobrovolný...

Assessment of the experience of the first years



- The current financial model to re-finance the DEAL agreements is more beautiful in theory than in practice
 - The second invoice (publication based balancing) is not liked and not respected enough
 - Hence the DEAL governance is working on a new cost distribution model to be deployed for the upcoming renewals with Wiley and Springer Nature or potential new agreements (namely Elsevier)
-
- The new modeling will come with adjustments to the previous one
 - Several modeling variants have already been explored
 - The model will be called „Wandel durch Annäherung“ (change by approach)
 - There are favorites, but no definite decision has been taken



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New model “Wandel durch Annäherung” (change by approach)



- Component 1: pre-payment based on previous subscription spend
- Component 2: post-payment with certain mandatory percentage of publication costs
- Components will incrementally be stretched and adjusted over a few years with the aim to arrive in a paper charge model

DEAL	Subscription	Post-payment of Acquisition													
		200k	250k	300k	350k	400k	450k	500k	550k	600k	650k	700k	750k	800k	900k
Percentage of 2017 subscription	100%	502.853 C	600.206 C	1.333.576 C	1.714.952 C	2.092.328 C	2.469.704 C	2.847.080 C	3.224.456 C	3.601.832 C	3.979.208 C	4.356.584 C	4.733.960 C	5.111.336 C	5.488.712 C
	105%	48.608 C	440.440 C	839.234 C	1.223.989 C	1.615.765 C	2.007.541 C	2.399.317 C	2.791.093 C	3.182.869 C	3.574.645 C	3.966.421 C	4.358.197 C	4.749.973 C	5.141.749 C
	108%	-485.780 C	-77.134 C	329.403 C	738.029 C	1.142.648 C	1.546.267 C	1.949.886 C	2.353.505 C	2.757.124 C	3.160.743 C	3.564.362 C	3.967.981 C	4.371.600 C	4.775.219 C
	109%	-1.014.456 C	-592.375 C	-170.884 C	231.866 C	635.067 C	1.038.268 C	1.441.469 C	1.844.670 C	2.247.871 C	2.651.072 C	3.054.273 C	3.457.474 C	3.860.675 C	4.263.876 C
	110%	-1.544.039 C	-1.104.586 C	-668.833 C	-231.300 C	208.714 C	640.367 C	1.080.580 C	1.520.793 C	1.961.006 C	2.401.219 C	2.841.432 C	3.281.645 C	3.721.858 C	4.162.071 C
	95%	-2.073.544 C	-1.630.328 C	-1.187.112 C	-743.896 C	-295.255 C	100.770 C	644.393 C	1.084.606 C	1.524.819 C	1.965.032 C	2.405.245 C	2.845.458 C	3.285.671 C	3.725.884 C
	90%	-2.603.940 C	-2.153.908 C	-1.693.876 C	-1.243.844 C	-793.812 C	-343.780 C	208.215 C	657.938 C	1.108.151 C	1.548.364 C	1.988.577 C	2.428.790 C	2.869.003 C	3.309.216 C
	85%	-3.134.336 C	-2.684.304 C	-2.224.272 C	-1.774.240 C	-1.324.208 C	-874.176 C	-424.144 C	220.780 C	670.992 C	1.121.205 C	1.561.418 C	2.001.631 C	2.441.844 C	2.882.057 C
	80%	-3.664.732 C	-3.214.700 C	-2.754.668 C	-2.304.636 C	-1.854.604 C	-1.404.572 C	-954.540 C	-504.508 C	33.244 C	583.007 C	1.023.220 C	1.463.433 C	1.903.646 C	2.343.859 C
	75%	-4.195.128 C	-3.745.096 C	-3.285.064 C	-2.835.032 C	-2.385.000 C	-1.934.968 C	-1.484.936 C	-1.034.904 C	123.111 C	595.020 C	1.035.233 C	1.475.446 C	1.915.659 C	2.355.872 C
	70%	-4.725.524 C	-4.275.492 C	-3.815.460 C	-3.365.428 C	-2.915.396 C	-2.465.364 C	-2.015.332 C	-1.565.300 C	-111.111 C	506.029 C	946.242 C	1.386.455 C	1.826.668 C	2.266.881 C
	65%	-5.255.920 C	-4.805.888 C	-4.345.856 C	-3.895.824 C	-3.445.792 C	-2.995.760 C	-2.545.728 C	-2.095.696 C	-165.656 C	417.038 C	857.251 C	1.297.464 C	1.737.677 C	2.177.890 C
	60%	-5.786.316 C	-5.336.284 C	-4.876.252 C	-4.426.220 C	-3.976.188 C	-3.526.156 C	-3.076.124 C	-2.626.092 C	-226.666 C	328.047 C	768.260 C	1.208.473 C	1.648.686 C	2.088.899 C
	55%	-6.316.712 C	-5.866.680 C	-5.406.648 C	-4.956.616 C	-4.506.584 C	-4.056.552 C	-3.606.520 C	-3.156.488 C	-186.636 C	239.056 C	679.269 C	1.119.482 C	1.559.695 C	2.000.008 C
	50%	-6.847.108 C	-6.397.076 C	-5.937.044 C	-5.487.012 C	-5.036.980 C	-4.586.948 C	-4.136.916 C	-3.686.884 C	-246.684 C	150.066 C	599.282 C	1.039.495 C	1.479.708 C	1.919.921 C

a dokonalý závěr:

^

Piece of advice

- Don't let only librarians dominate the discussion



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Open Access Funding in Switzerland

- Cost neutrality as guiding principle
 - There is enough money in the system
 - Cost neutrality on national level, based on previous subscription costs, plus Gold OA
- Some additional funding for Gold Open Access
 - Swiss National Science Foundation (SNSF) pays APC if project was funded at least 50% by SNSF
 - swissuniversities has a project for 2022-2024 to contribute to agreements with Gold OA publishers and individual Gold OA APC
- Costs in the wild as challenge

CSAL Cost Distribution Framework

- Framework was developed for first R&P agreements with Elsevier, Springer Nature and Wiley (called «big deals» in Switzerland)
- Committee to develop cost distribution was formed with representatives of the institutions which are affected the most
- General principles
 - **simplicity**: easy to understand with only a few variables
 - **fairness**: model should be perceived as «fair» for all partners
 - **transparency**: model should be based on data which is easy to find and verifiable

Developing the new framework

Definition of variables

- Previous licence fees
- Publication volume
- FTE (researchers)

Start date of transformation

- 3rd year of agreement
- Based on publication data resulting from the agreement

Managing cost shift

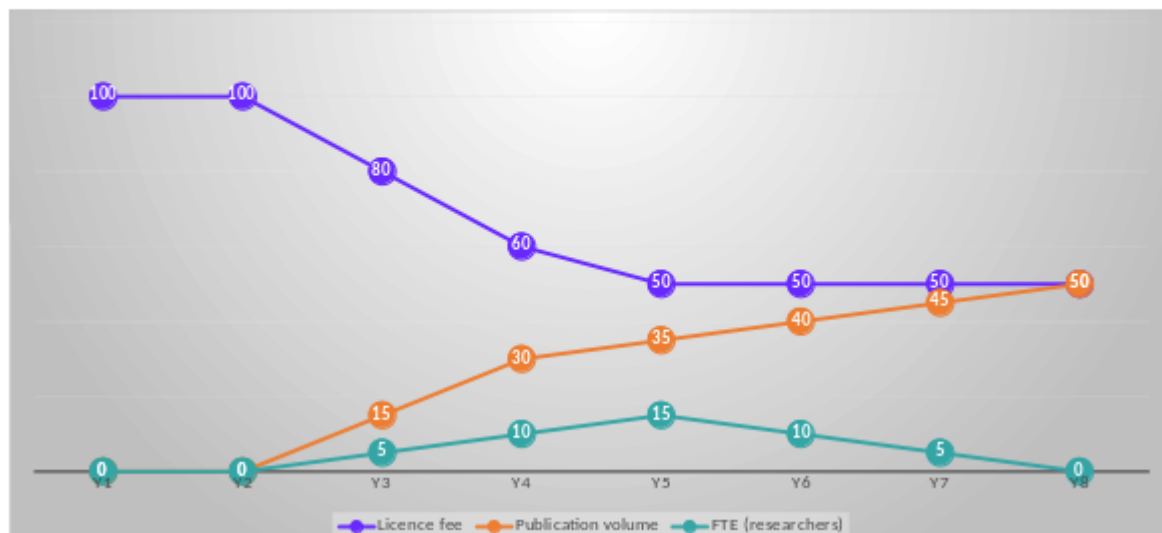
- No more than 10% increase or 10% decrease per year

Minimum fees for new institutions

- Non-publishing institutions (1 publication or less p.a.) EUR'1000 p.a.
- Publishing institutions (2 publications and more) starting at EUR 5'000

Transition to 50/50 model

Current cost distribution aims to move towards 50% licence fee/50% publication fee model over 8 years



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Experiences with our cost distribution

- Model applied quite broadly, not only big deals
- Model is not fit for every R&P agreement
- There are some institutions that always pay more and some that always pay less. However, majority sometimes gains and sometimes loses in our system. Progress will need to be monitored closely.
- Discussion about future development ongoing



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Mají složitý multi-payer model. Vzhledem ke specifičnosti jejich uspořádání je přenositelnost zkušeností spíše nižší.

Principles for a cost distribution framework at UC

- Operate, from the publisher's perspective, as one subscribing entity
- Campuses (generally) are not in a position to increase their local spend in the short term
- Consistency across agreements, as much as possible
- CDL has a traditional role of making central contributions to help balance equity among campuses in our agreements

UC's standard TA cost distribution framework

- CDL negotiates and manages agreements centrally, and all library funds continue to flow through CDL to the publisher.
- Costs that the libraries are obligated to pay are aggregated and distributed among UC campuses using the same cost shares as the subscription model previously did
 - Generally based on FTE, with some exceptions.
 - Regardless of author contributions and which campus they're coming from
- CDL's contribution is used, when necessary, in part to smooth out any inequities, particularly related to the shift from a subscription model to a transformative agreement

What is and is not working?



- No major surprises to campuses when seeking approval to shift to a transformative agreement
- No campus vetoes or withdrawals as a result of cost share shifts that disproportionately change a campus's contribution
- Operating as a single entity continues to support negotiation strategy

-
- Not responsive to actual contributions from authors under the multipayer model
 - Not directly tied to publishing volume; some campuses may be subsidizing others' publication costs
 - Doesn't apply well to new agreements with full OA publishers



Future adjustments

Main future adjustment is to find a strategy which includes publication volume in some fashion. Some ideas under consideration/pilot:

- Aggregate library obligation is distributed based in part on FTE and in part on publication volume (e.g. 50% of cost based on FTE, 50% based on previous year's publication output)
- Under multipayer model, library subventions aggregated and distributed in one way, and library-paid remainders handled separately.
 - Subventions may be paid by CDL, distributed on FTE model, etc.
 - Library-paid remainders may be aggregated and distributed on FTE model, on combined FTE/pub volume model, or even paid by the library from the author's campus (in aggregate, not article-by-article).

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Advice for other consortia

Adopt a model which starts from the cost distribution framework used for subscriptions, and (if desired) then gradually moves towards a different model.

- Knowledge that no campuses would need to withdraw due to initial changes in cost share is invaluable in negotiation and approval steps.
- Fosters a financially safer space for experimentation within the agreement.
- Allows for deliberate cost share conversation with participating institutions, separate from any direct conversations with the publisher.



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Norsko

Norské konsorcium se pro změnu opět přejmenovalo, tentokrát na SIKT (protože k licencování si přiberou i národní repozitář).

Norsko zavedlo přesně to, o čem CzechELib uvažoval: zpětné proplácení utracených APC. V Norsku však toto hradí Norwegian Research Council.

Podporují Diamond OA tříletými granty Ministerstva pro výzkum.

OA funding

- Through transformative agreements
- Through institutional funds (up until 2022 institutions could report their Gold APC spend to the Norwegian Research Council and get half refunded next year)
- Through a model where the Ministry and institutions pay to have Norwegian language journals in the humanities and social sciences OA (Diamond model)
- Through the development of a national repository (to be launched next summer). Funded by the Ministry today, but will be a consortium later

Issues

- Reading cost vs publishing cost
 - Which parameters to use and what weight
- Effect for individual institutions
 - Transition period?
- Publisher price model vs our own price model
 - Need to clarify with the publisher?
- Institutions in/out of the agreements
 - How to handle difference between publisher price and 'our price'
 - Rules for entering and leaving agreements (notice period, binding period etc)



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Analyses

- Analysed the agreements with Elsevier, Springer, T&F og Wiley
- Alternative models analysed
 - 50% reading cost and 50% publishing cost
 - 30% reading cost and 70% publishing cost
 - 100% publishing
 - 10% fixed cost and 90% publishing cost
- Reading cost analysed based on current cost share, FTE-share, FTE Tier model
- Publishing cost distributed according to share of publishing
- Analysed the effect also for the total cost for all 4 agreements



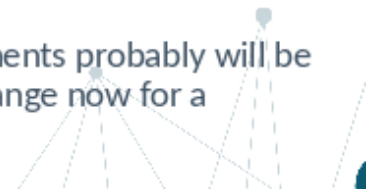
Main findings

- 4 largest universities will mainly have a reduced cost
 - Other universities and university colleges will mainly have an increased cost – some with considerable increase
 - Research institutes will mainly have increased cost – some considerably
 - Governmental institutions mainly reduced cost
 - Hospitals – few members and too limited basis for analysis
-
- For those institutions that are part of all 4 agreements, the analysis show that the 4 largest will have a reduced total cost – all others will have an increased cost.



One year after...

- The report was presented and discussed in meeting with our steering committee
- The report was presented in our yearly conference end of april
- The earliest starting point for implementation was decided to be 2023 (so model etc needs to be decided during first half of 2022)
- The report was up for discussion again in our meeting with the steering committee in January 2022.
- Not any decision yet regarding if, how and when.
- 2025 coming closer, when the price models in our agreements probably will be based on publishing anyway. Is it really worthwhile to change now for a relatively short period?



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Operační program Výzkum, vývoj a vzdělávání



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CAUL transitional cost distribution framework

- Most of existing agreements are R+P, not transformative
 - Existing subscription spend maintained (no cost redistribution)
 - Negotiated inclusion of OA publishing amount (mostly uncapped, covering all hybrid)
 - For capped agreements (Springer Nature, Oxford), OA publishing available on first-come, first-served basis to all members, until cap is reached
- Current Elsevier negotiation is intended to be first “proper” TA
 - Existing subscription agreement based on historic print spend
 - Previous efforts to re-distribute subscriptions costs based on CAUL agreed principles were unsuccessful
 - Members have agreed that re-distribution must happen, for both “read” component and “publish” component
 - Will likely require 5- to 6-year transition (based on previous experience, e.g., T+F)
 - Requirement that CAUL (not Elsevier) determines cost distribution framework

What is working, not working?

- Existing R+P agreements work, mainly because they have not (yet) involved significant changes (contract or cost)—the OA publishing allowances are an add-on to existing subscription agreements
- Existing R+P agreements do not introduce any significant administrative overhead (for CAUL or member institutions)
- Existing R+P agreements deliver clear, immediate benefits to our researchers, and are allowing more strategic conversations at member institutions about OA funding and requirements for additional funding to member libraries to enable full OA
- Fast-Track program (next slide)
- Not working: capped agreements

Velká Británie

Konsorcium JISC patří mezi ta největší a nejpropracovanější. Mají také velké a dlouholeté zkušenosti s transformačními smlouvami.

Narozdíl od jiných konsorcií zavádějí jako parametr též využívanost (z jejich portálu JUSP).

Principles

- Importance of moving to paying for services. Pricing should have a closer correlation to the value received by institutions.
- Must be sector led and have buy in at VC (rector) level
- Managed/gradual implementation; care needs to be taken to avoid major increases for some institutions and the risk of institutions breaking away from consortium.
- Sector unity - institutions will fare better in negotiations if all work in concert
- Transparency - data used in cost distribution should be as transparent (publicly available) as possible – ideally in the public domain. We've used HESA data for FTEs and the COUNTER usage data from JUSP.

Principles

- Recognition that transition of an agreement away entirely from legacy model will go beyond current term.
- Requirement that the sector (not large) determines cost distribution framework



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Proposed model - methodology

Proposed model used three main parameters (3 year average):

1. Journal usage ('Read').
2. Number of papers published by CA at an institution with each publisher ('Publish').
3. Ability to pay - Total Relevant Income ('Jisc banding')

The annual degree of change can be capped at a maximum amount per year to moderate increases and decreases.

(Note that other consortia have retained the option to add a 'fixed cost' element which is the same for all institutions. For example, 10% of the total cost might be split equally among the participants, with the remainder based on other parameters).



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The allocation methodology

1. 'Read' - usage of the publisher's journals by each institution

The Read parameter can be switched between downloads and FTEs and set as a percentage. FTEs were used as a proxy for reading on the basis that usage will be proportional to the number of staff, the number of students, or both. Modelling based on a three-year average of staff and student numbers Considerations:

Overreliance on downloads may create a perverse incentive to institutions on usage. FTE data may be less appropriate for single subject collections or institutions e.g. chemistry. FTE data sourced from HESA's Student Table 2.

We recommend that usage and FTE data does not comprise more than 1/3 of any institution's total fee.

The allocation methodology

2. 'Publish' – # papers published by institutions with each publisher

The publish parameter is based on the number of original research and review articles publishers by corresponding authors at each institution

Considerations:

Need to understand the article type and to check that the correct article types are being counted in to determine the publication count which feeds into the Publish price. Also prone to fluctuation so multi year averages needed especially where an institution has just entered into a TA.



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The allocation methodology

3. 'Ability to pay' – ability of each institution to contribute towards the total cost

Jisc Band system, which groups institutions together on the basis of Total Relevant Income. The Band numbers range from 1 to 10. Band 5 is divided into two roughly equally sections, named 5A and 5B.

The modelling tool applies linear scaling – so that Band 1 (which comprises the largest institutions) is weighted ten times higher than Band 10 (the smallest), and the weighting increases linearly from 1 to 10.

Cost allocation - issues

FTE *probably* best measure for counting students and staff domiciled in the UK, in terms of it being a largely understood, and well adopted statutory reporting measure. This is despite it not being the only option, and the fact that it doesn't reflect overseas students at all

Whilst there's 'fairness' and 'predictability' in the metrics library budgets could still be way out of step with institution level parameters. E.g. Jisc Banding

VAT 😞



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Current cost distribution framework

- Parameters Education, Research and Infrastructure (until 2015: only education and infrastructure), all counting for 1/3. The change was gradual introduced so research intensive universities had 3 years to adept internal budgets.
- Match between profile university and profile publisher ('HOOP' areas)
- Library budget, that is directly allocated from overall university budget or that needs to be approved by research departments within the institution
- NWO / ZonMW (Plan S) funding covers 20-25% of overall research budget. Funders don't participate in consortium deals, only funding full QA as part of project budget.
- Universities have also institutional deals and university QA funds

Co v nahrané prezentaci nebylo:

profil univerzity a profil vydavatele byl řešen na úrovni jednotlivých titulů časopisů, tj každý titul byl přiřazen nějaké skupině v HOOP sektoru (v ukázce je měl Arjan Schalken spojeny, takže jich nebylo 10, ale jen asi 3 nebo 4 skupiny). U každého titulu měli jeho list price, zároveň počítali počty studentů v těchto sektorech.

Parametr Infrastructure odpovídal výši rozpočtu instituce (nebo jeho definované části).

Full-time students per HOOP sector (UAS + research universities, Dutch and int.)

Economy & Business
Human & Social Sci.
Healthcare
Agriculture & Environmental Sci.
Science
Education
Law
Cross-sector
Arts & Culture
Engineering



Weaknesses of current framework

- No direct relation with cost calculation publisher (when 1 institutions doesn't sign in, this can have impact on what other participants need to pay)
- Data used for parameters can be difficult to obtain (and will needs more validation with new consortium members)
- Because of the many parameters, it can be difficult to understand why cost distribution between institutions changes (can be relative growth of students or publications but also a changing journal portfolio of a publisher)
- No track record for usage beyond R&P consortium deal. More insight needed in usability and further development for future scenario's
 - 'publish only' contract
 - institutions that only focus on research or education
 - External funding (Plan S)



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4. Anotace a závěr

Workshop byl extrémně užitečný vzhledem ke sjednávání nových transformačních smluv v rámci České republiky pro roky 2023-2025 až 2027.

V úhrnu - shoda je v zásadě na následujícím:

Je potřeba přijít s nějakým interním modelem pro TA smlouvy.

Ideální atributy: transparentnost, jednoduchost modelu.

Skokové změny jsou víceméně nežádoucí - modely by měly změny plateb aplikovat postupně.

Jako vždy, u interního modelu je vždy riziko, že nebude „lícovat“ s cenovým modelem vydavatele a při odchodu některé instituce dojde k výraznému nárůstu plateb ostatních - protože odcházející instituce částečně „platila za ostatní“. (na tomto v podstatě široká shoda, protože to se netýká jen TA, ale obecně všech smluv)



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