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The power of the library consortium

Enabling the open access transition via transformative agreements

CzechELib Conference

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Open Access 2020 Initiative · Max Planck Digital Library

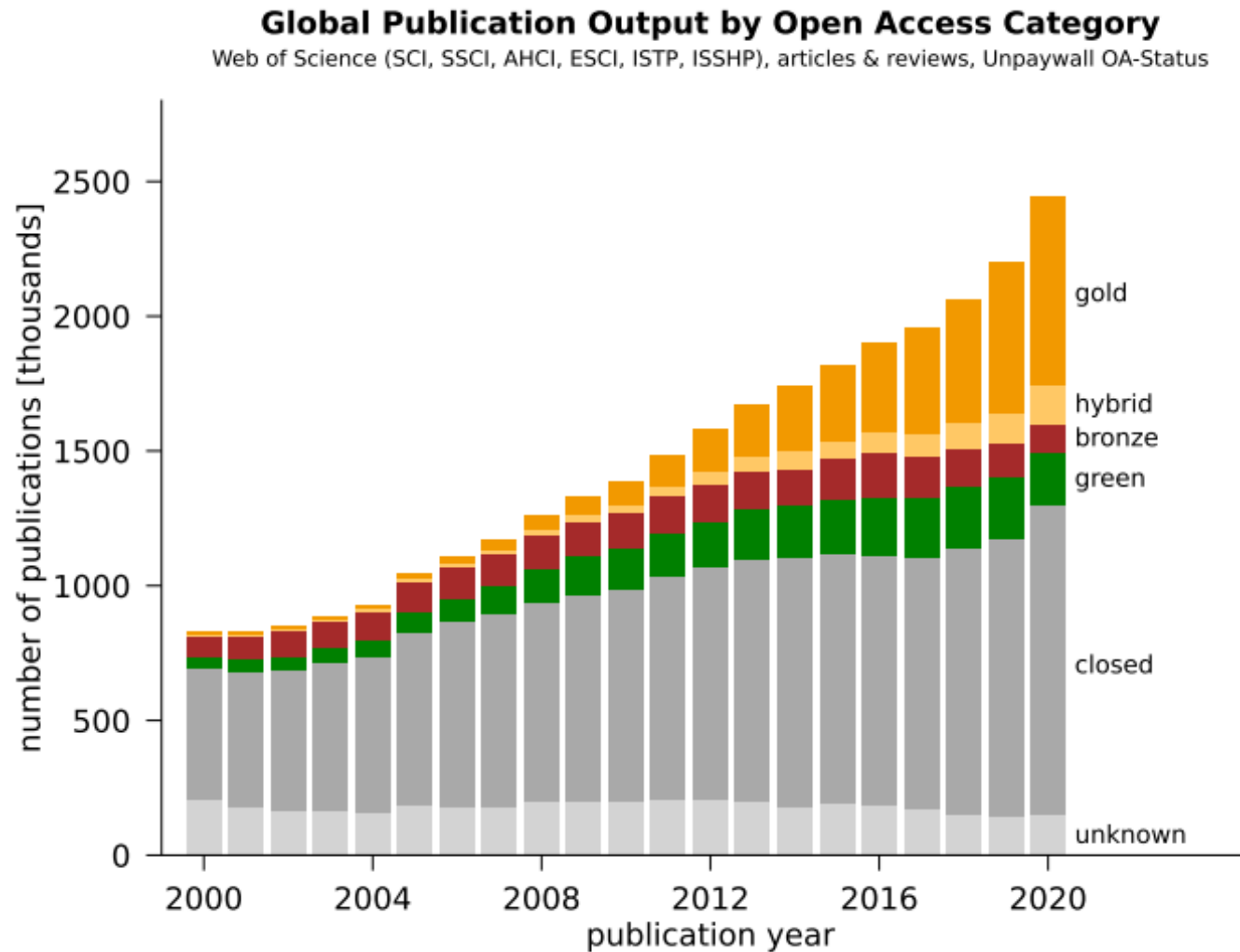


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1 Transformative agreements

A practical framework to redirect our investments from subscription paywalls to open access and future-proof financial streams

Scholarly publishing landscape is increasingly open



Source Long-term global trends in open access

A data paper by the MPDL Big Data Analytics Group. DOI [10.17617/2.3361428](https://doi.org/10.17617/2.3361428)

Implications of the parallel financial streams

Journal subscription market

Lack of price transparency

The same publishers negotiate subscription agreements with many different customers and demand non-disclosure clauses; individual pricing is kept secret.

No market pressure to control pricing in the old subscription system

Subscriptions paid in lump sums for “Big Deals” and prices are largely based on historical expenditure of print subscriptions and differ for each customer—the only commonality is the ~5% annual price increase.

Parallel open access publishing market

Duplicate revenue stream of ‘hybrid’ publishing as open access grows

Publishers offer the opportunity to publish articles open access in subscription journals for a fee → “double dipping”.

Author-facing open access publishing fees hidden from oversight

As fully open access journals grow in quality and reputation, they attract authors, creating a growing market without central, institutional oversight.

A new strategy to future-proof our investments

Scholarly publishing is part of the research process

Scholars and scientists rely on the services of journals to discuss hypotheses, validate their methods and disseminate their findings. The more broadly research is disseminated, the greater impact it will have and the faster science can advance.

There is already enough money in the system

To prepare for an open paradigm in scholarly communication, we need to understand where authors choose to publish the results of their research and repurpose our current subscription investments to enable them to publish their articles open access, instead.

Funding streams need to be re-organized around open dissemination

Previous financial streams of scholarly journal publishing based on subscriptions may not align with the needs of institutions in an open paradigm. Library consortia are the actors to support the re-organization of funding, gradually and sustainably.

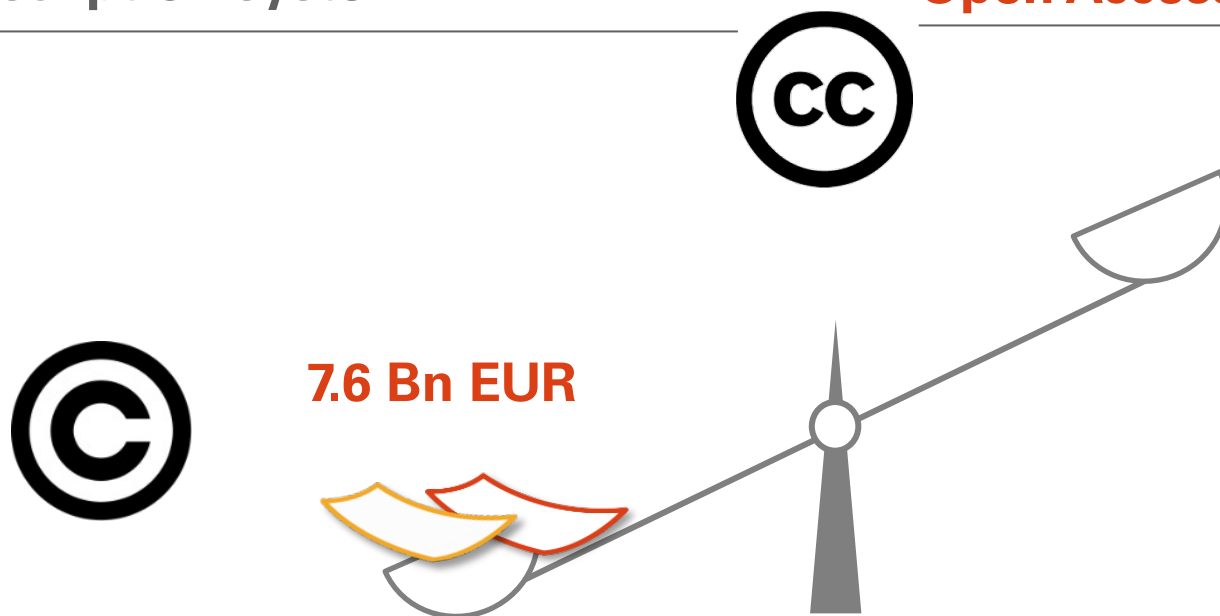
► Transformative agreements are the framework to put this re-organization into practice

Transformative agreements (TAs)

TAs are centrally negotiated agreements with scholarly publishers in which **former subscription payments are repurposed to cover open publication** of a country or institution's research articles (and reading of content still behind the paywall).

Subscription system

Open Access



Source **Disrupting the subscription journals' business model for the necessary large-scale transformation to open access**

Schimmer et al. 2015 <https://hdl.handle.net/11858/00-001M-0000-0026-C274-7>

Transformative agreements at the Max Planck Society

23 transformative agreements and 10 direct billing agreements with fully OA publishers

Max Planck authors can publish open access in more than 10,000 journals without having to pay APCs and in full compliance with Plan S

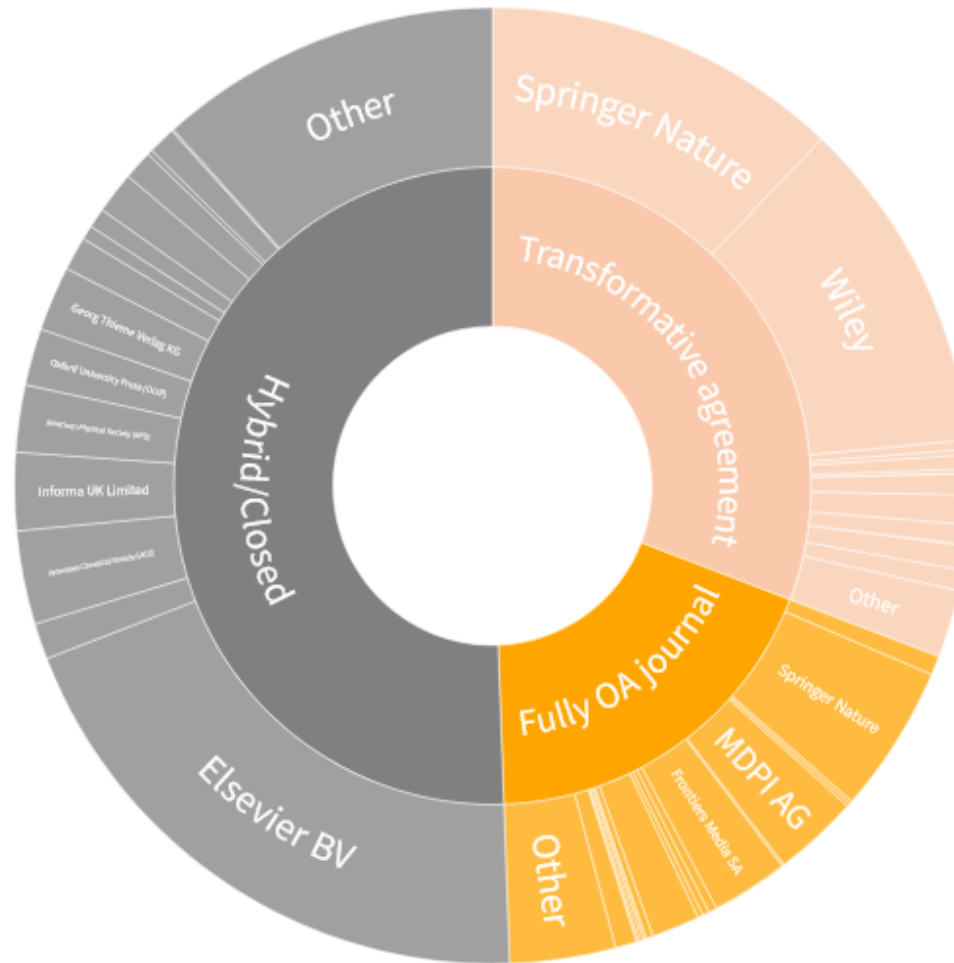
<https://oapublishing.mpgdl.mpg.de>

- subscription agreement
- open access agreement
- transformative agreement

2 Germany's nationwide DEAL approach

A national-level consortium to negotiate transformative agreements and enable a smooth transition to open access

Implementation of the DEAL agreements in Germany



Source **Country overview**

ESAC Market Watch <https://esac-initiative.org/market-watch/>

Open access publishing in SN and Wiley journals

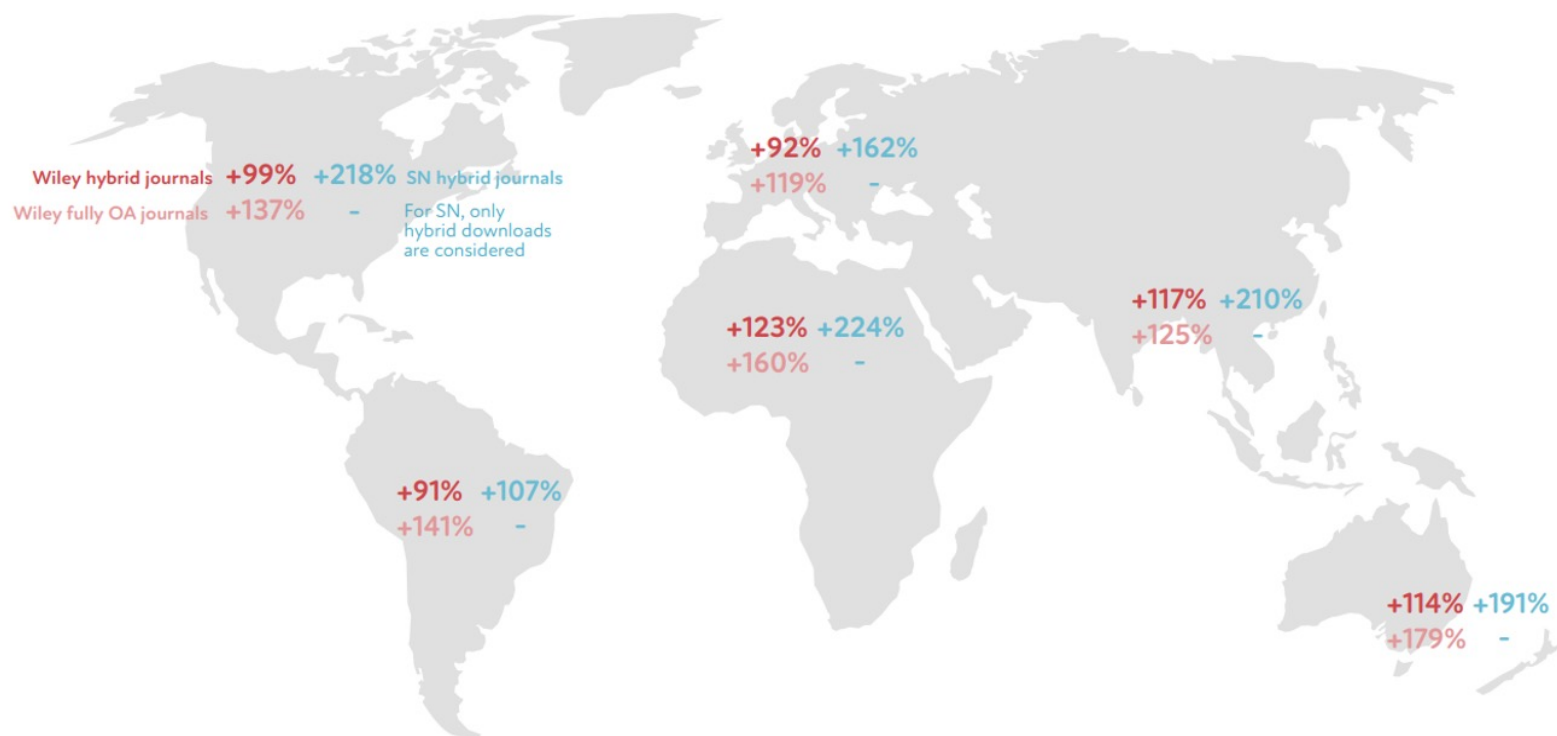
Articles published under DEAL agreements in 2021	27,108	10,800	% 2021 vs 2020	16,308	% 2021 vs 2020
Articles in hybrid journals	21,295	9,747	-3%	11,548	+13%
Articles in fully OA journals	5,813	1,053	+20%	4,760	+2%
	Total	Wiley		Springer Nature	

Source Facts and figures of the DEAL Agreement in 2021

https://deal-operations.de/images/documents/DEAL_Facts_and_figures_2021.pdf



Increased visibility and readership for German authors



Total number of downloads worldwide (2020+2021)

32,645,097 39,741,022
Wiley Springer Nature

Growth in downloads, globally (2021 vs 2020)

+107% +185%
Wiley Springer Nature

Downloads at DEAL institutions (2020+2021)

5,153,998 2,789,311
Wiley Springer Nature

Growth in downloads from DEAL institutions (2021 vs 2020)

+78% +21%
Wiley Springer Nature

Source Facts and figures of the DEAL Agreements in 2021

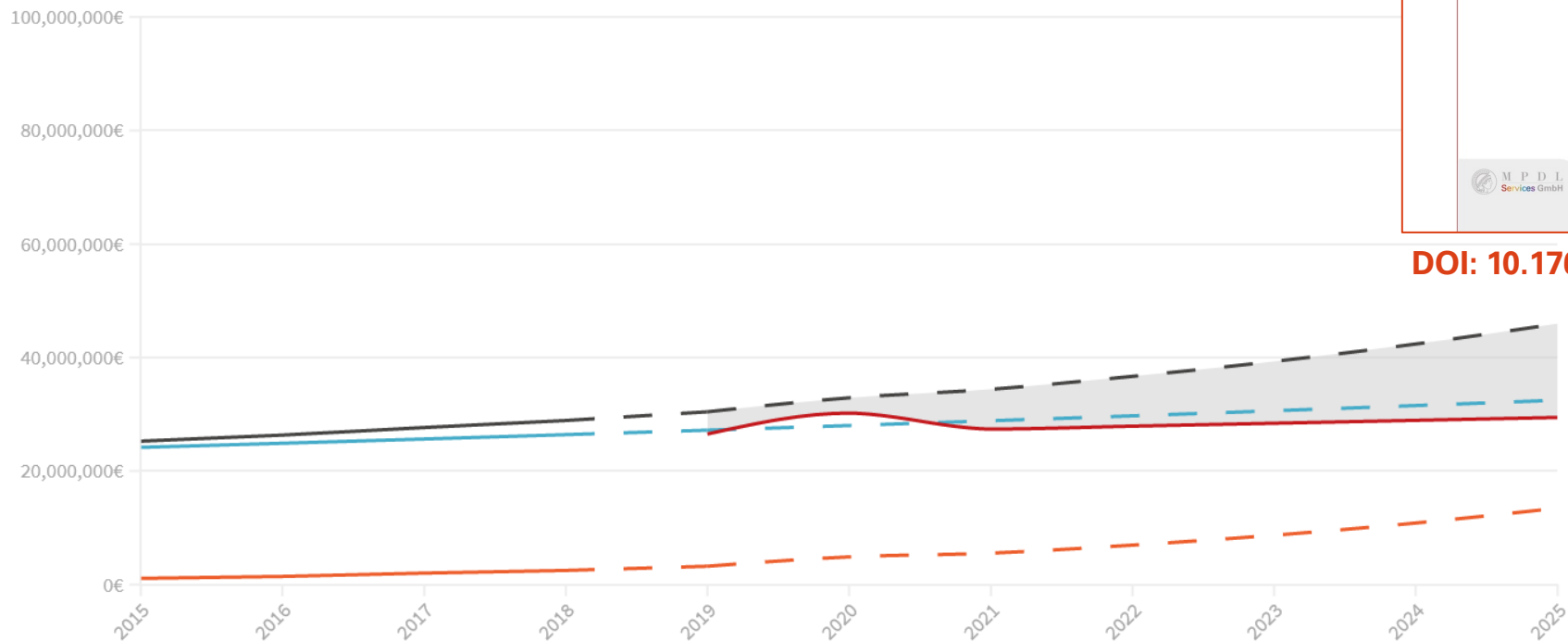
DEAL Operations website

https://deal-operations.de/images/documents/DEAL_Facts_and_figures_2021.pdf

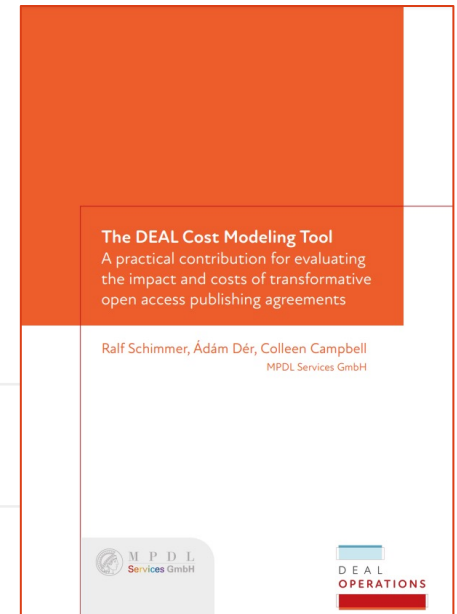
Price transparency and cost avoidance

Status quo (subscription-based system)

● Subscription fees ● APC expenditure ● Total expenditure ● DEAL



DOI: 10.17617/2.3331716



Source **The DEAL Cost Modeling Tools - Wiley**

DEAL Operations website <https://deal-operations.de/en/here-is-the-deal/deal-cost-modeling-tool>

There is enough money in the system: we need to move it to where it is needed

- All facts & figures show that the two DEAL agreements are very successful and cost-effective for the country
- In particular, they bring huge benefits for researchers as readers and authors
- Like in any other country, the key challenge lies in finding a new cost distribution model that shifts the logic from reading to publishing

“What about the research-intensive institutions which would have to pay more compared to previous subscription expenditures?”

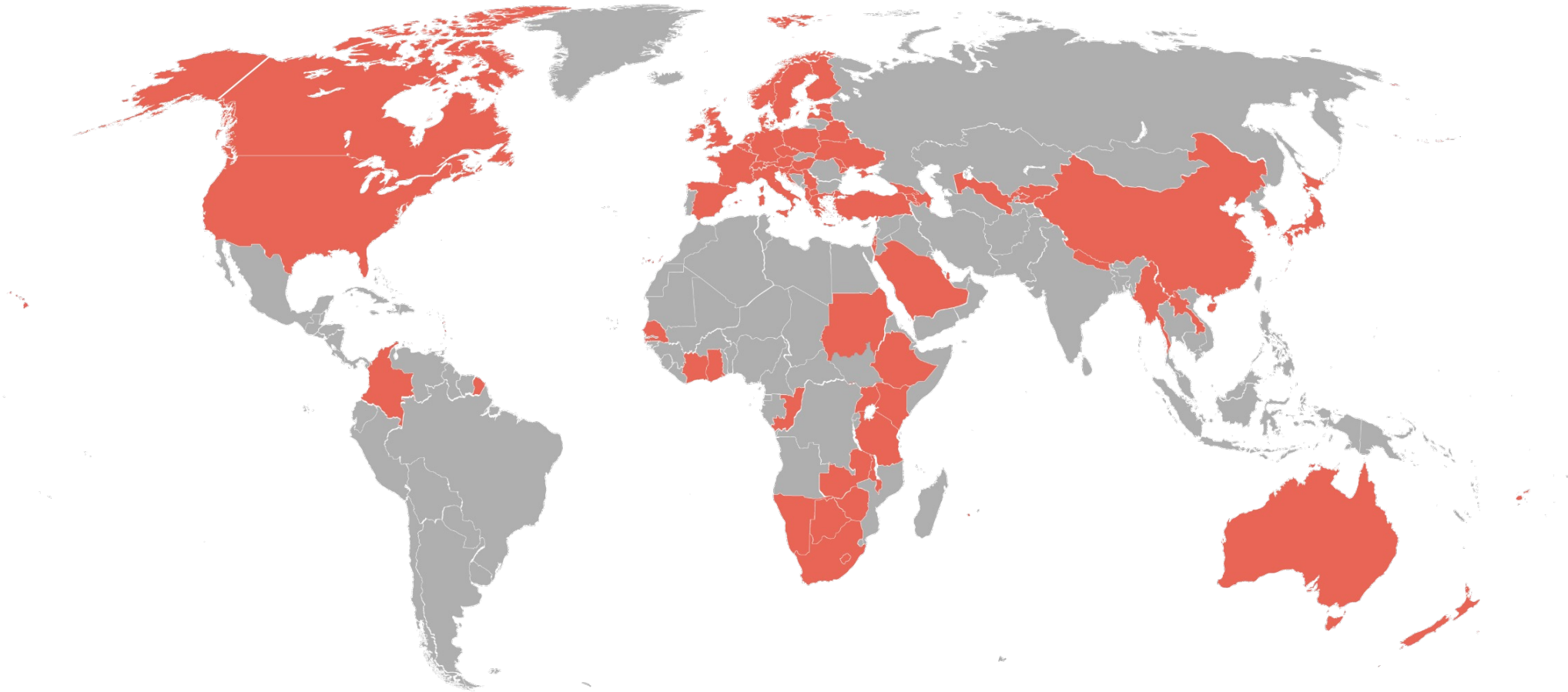
- ▶ National library consortia provide the operational and financial infrastructure to support institutions through the open access transition, allowing the other stakeholders the opportunity to gradually shift investments to where they are needed.

3 Transformative agreements globally

Libraries and library consortia driving the open access transition in scholarly publishing

Libraries and consortia globally negotiating TAs

2022

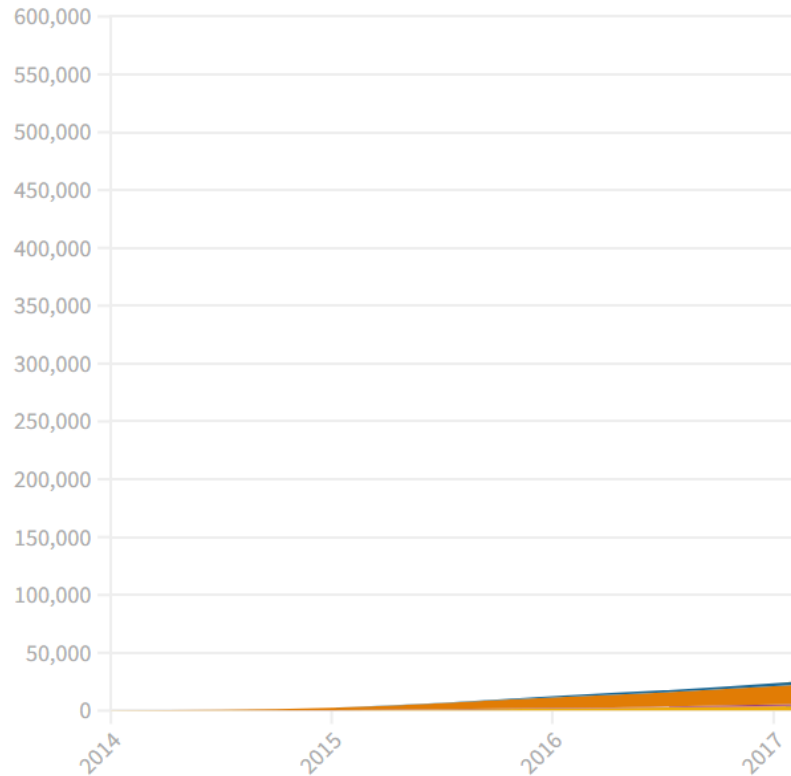


Source Countries with transformative agreements listed in the ESAC Registry

ESAC Registry of Transformative Agreements

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

Growth of articles published OA under TAs

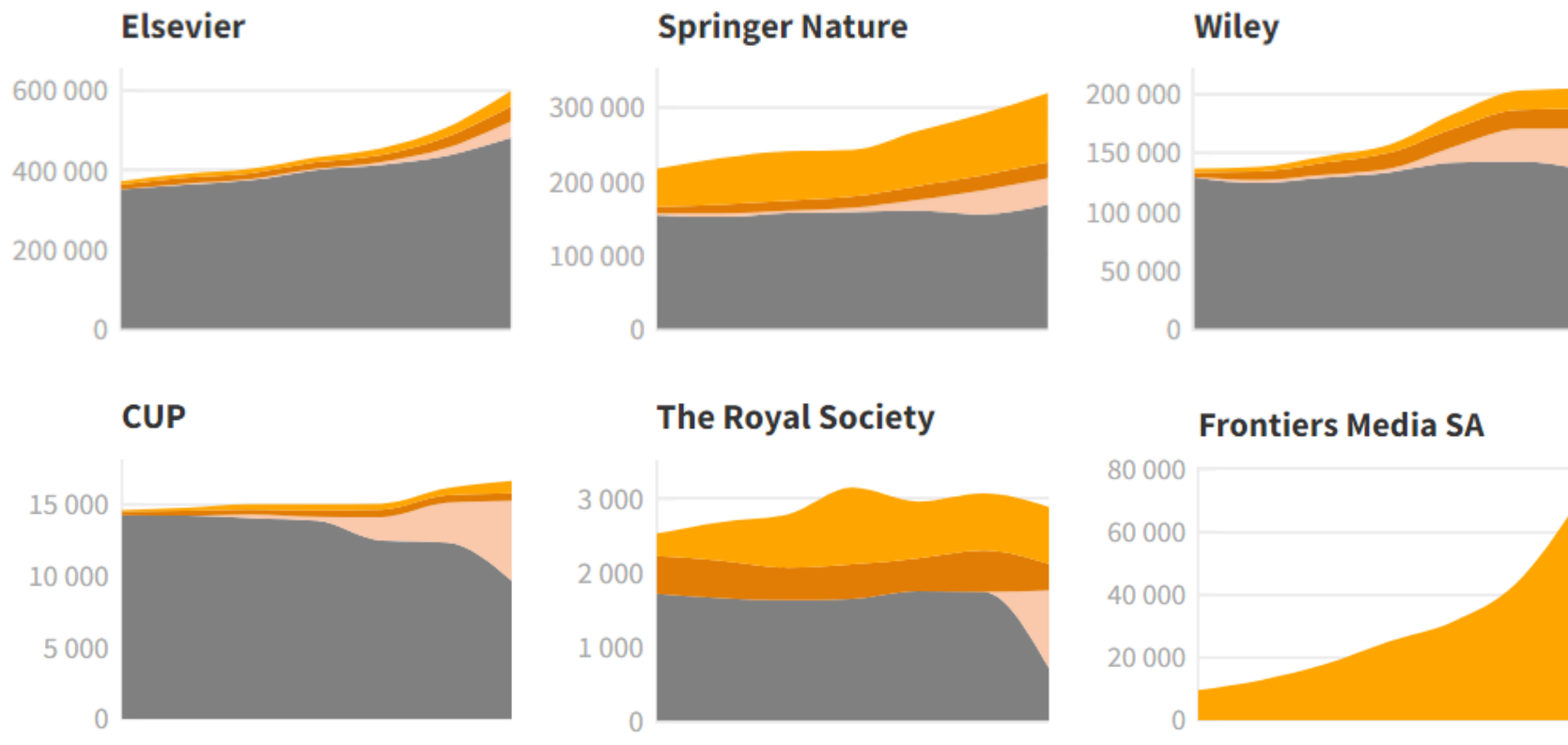


Source Cumulative sum of articles covered by transformative agreements on the ESAC Registry, over time

ESAC Market Watch <https://esac-initiative.org/market-watch/>

Publisher uptake of TAs

■ Closed ■ Transformative agreement ■ Hybrid ■ Fully OA journal



Source **Publishers' journal portfolio overview**

ESAC Market Watch <https://esac-initiative.org/market-watch/>

On the horizon: new impetus from the US



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF SCIENCE AND TECHNOLOGY POLICY
WASHINGTON, D.C. 20502

August 25, 2022

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

FROM: Dr. Alondra Nelson 
Deputy Assistant to the President and Deputy Director for Science and Society
Performing the Duties of Director
Office of Science and Technology Policy (OSTP)

SUBJECT: Ensuring Free, Immediate, and Equitable Access to Federally Funded Research

‘Wind in our sails’: University of California hails White House guidance accelerating public access to federally funded research

By admin / August 26, 2022

Sources

OSTP Memorandum

<https://www.whitehouse.gov/wp-content/uploads/2022/08/08-2022-OSTP-Public-Access-Memo.pdf>


Statement from the University of California Libraries

<https://osc.universityofcalifornia.edu/2022/08/wind-in-our-sails-university-of-california-hails-white-house-ostp-guidance/>

“The policy also reinforces that **“federal agencies should allow researchers to include reasonable publication costs”** in their research grant budgets. This is a win for researchers and academic institutions alike, allowing for greater participation in open access publishing.

The future is open

The best way to predict the future,
is to create it.



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Thank you!

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<https://oa2020.org/>



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