Transformation Roadmap:
Activation Phase – from Berlin 12 to Berlin 13

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Embedding the transformation initiative

Given the *current developments*, it is a *timely moment* for an international transformation initiative for open access

- LERU Statement “Christmas is Over”
  (http://www.leru.org/index.php/public/extra/signtheLERUstatement/)
- Austrian Recommendations (http://dx.doi.org/10.5281/zenodo.34079)
- Statement of European Commissioner Moedas and Secretary Dekker
- Global Research Council Open Access Policy Statements
- Science Europe Open Access Policy Statements
- and many others…
SCOAP³ was successful in establishing a functional collaboration on a global scale, where various stakeholders in the individual countries are working together. We want to build on this network and extend it even further.

- Organization & seating arrangement of Berlin 12
- Expression of Interest as first level of commitment
- Notion of National Contact Points
- Networking & collaboration
- Governance structure at some later point
But also significant differences to SCOAP³

First of all: There is no CERN that could take responsibility for most of the work, do the contracting and take on the liability

- There will never be one already existing or newly established entity in the center to take on all key affairs
- It is the challenge and the beauty of a scholarly driven transformation initiative that is has to find its expression in the various institutions, regions and countries
- That means that we all have to act ourselves in our own jurisdiction. We can and need to collaborate but no one can rely on somebody else

It means work on the grounds if you want to get involved!
This insight is feeding this roadmap which is meant as a working document to be continuously improved and updated.

When we make the documents of Berlin 12 (presentations & minutes) available, the roadmap could be captured in a text document to accompany the *Expression of Interest*.

The roadmap could become the guiding document for the work ahead of us.
A Roadmap for the Activation Phase until Berlin 13

- Framework
- Analysis
- Organizing
- Negotiation
- Sharing
Commit to the initiative and start to establish a transformation network in your country.
Activation Phase Roadmap

1. Get the EoI signed on institutional level
2. Connect with us, sign up to mailing list
3. Establish National Contact Points (NCPs) in your country
4. Use and extend the local networks in your country
5. Work with your national committees and governance structures
6. Start meaningful & targeted lobbying
7. Etc.

A transformation cannot be preached from the outside; it has to come from within
Activation Phase Roadmap

- Framework
- Analysis
- Organizing
- Negotiation
- Sharing
Activation Phase Roadmap

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Improve your knowledge and understanding of your publishing output and cost distribution

Framework

Analysis

Organizing

Negotiation

Sharing
Activation Phase Roadmap

- Improve data analytics capacities
- Monitor output in terms of OA shares and publisher distribution
- Comprehensive overview of the costs of the current publication system needed
Activation Phase Roadmap

2 Open Access Gold

share in Web of Science articles and reviews

![Graph showing the percentage of Open Access articles over publication years from 2002 to 2014. The graph compares global and Max Planck Society data. The percentage increases from 0% in 2002 to 16% in 2014.](image)
Activation Phase Roadmap

2 Open Access Gold

share in Web of Science references

Max Planck Society

Global
Activation Phase Roadmap

2 MPG publications by provider / OA Gold

articles and reviews in Web of Science 2014
Activation Phase Roadmap

2 UK model of financial flows in scholarly publishing

Activation Phase Roadmap

- Framework
- Analysis
- Negotiation
- Sharing

Organizing
Get ready for re-organizing your payment streams and modifying the baselines of your publisher agreements.
Activation Phase Roadmap

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• Introduce open access publication funds where needed
• Remove any barriers so that the subscription budget can be merged with publication funds
• Work on mechanisms and concepts to balance funding gaps and to enable a shift of the given financial resources (potential role for funders)
Activation Phase Roadmap

- Implement mechanisms to monitor (transparency!) and analyze costs of scholarly publishing
- Define conditions for a “fair APC market”
- Develop concepts to cap APCs or for co-funding schemes (to set the right incentives)
- Establish local public funds to support non-APC-based OA-publishing models, support local and regional publishers and journals
- Etc.
Activation Phase Roadmap

Examples for workflows & transparency:

• ESAC – Efficiency and Standards for Article Charges
• Open APC Initiative
  • http://openapc.github.io/about/
    ➔ summary of entire actual dataset (blog)
  • https://github.com/OpenAPC/openapc-de
    ➔ contains data, figures, R scripts etc.
The aim of Open APC is:

- to release datasets on fees paid for Open Access journal articles by German Universities under an Open Database License
- to demonstrate how reporting on fee-based Open Access publishing can be made more transparent and reproducible across institutions
Activation Phase Roadmap

Framework

Analysis

Organizing

Sharing

Negotiation
Activation Phase Roadmap

Rethink your publisher approaches and get more ambitious in your negotiations
Activation Phase Roadmap

- Combine subscriptions and OA in your publisher agreements
- Put “offsetting” on your agenda
- Take large concepts such as TDM into consideration
- Monitor the approach and success of others closely and see what you can adopt
The standard hybrid model

Institution
- Spending for reading
- Spending for publishing on top
- No integrated transaction

Publisher
- Provides reading access
- Publishes individual papers open access

Distinct operating models: add-on component with extra costs (“double dipping”) and little incentive
The two operating models are combined …

Subscriptions + Open access
The two operating models are combined …
Offsetting model at work

Institution
- Spending largely for publishing instead of subscriptions
- Shift of expenses
- New workflows with OA relevance

Offsetting Agreement

Publisher
- Revenue stream not disrupted
- Publishes all articles from Institution in OA
- Continues to provide reading access

One comprehensive approach with incentives for institutions and publishers to shift costs and operating modes
Activation Phase Roadmap

- Framework
- Analysis
- Organizing
- Negotiation
- Sharing
We need to connect, collaborate and share your experience
Activation Phase Roadmap

We suggest to meet again at **Berlin 13** (ca. Q1/2017)

**During that time MPG/MPDL is committed to:**

- Support the initiative ("keep it going")
- Establish and organize an NCP network
- Establish a mailing list, and a dedicated web site somewhat later
- Work together with the individual NCPs
- Offer our support in data analytics starting 01/2016 (OA share & publisher distribution)
- Host the Berlin 13 conference
Activation Phase Roadmap

We suggest to meet again at **Berlin 13** (ca. Q1/2017)

What we hope you will all do during that time:

- Get EoI signed
- Work actively with this roadmap
- Establish a network and perhaps governance structure in your country
- Volunteers for NCPs needed
- Contribute to the int’l aspect of the initiative
- Come again and share your experience
Activation Phase Roadmap: activity required!

Pursuing the roadmap means to...

- ...commit
- ...analyze
- ...organize
- ...negotiate
- ...share

open access
From Berlin12 to Berlin13 and beyond

- Further consensus building & transformation discussion
- Establish NCPs & governance
- Collect EoI signatures
- Economic study on what is required for a functioning APC market
- Support data evaluation: Publication outputs & allocation, APCs & financial flows
- Share data within initiative
- Pioneer OA models with selected publishers
- Start reallocating subscription budgets
- B13: Review and share experiences
- Integrate new parties & stakeholders
- Enlarge initiative & find new supporters
- Share data worldwide
- Enlarge cooperation with publishers
- Fade out subscription elements in license agreements
- Build governance structure
- Prepare for smooth transition

OA share ≥ 90% (STM)

2015 B12
2016 2017 2018 2019 2020
B13

OA share ~ 14%
Summary

We suggest to meet again at Berlin 13 (ca. Q1/2017)

Commitment of MPG:
- Support the initiative
- Establish NCP network
- Establish a mailing list, dedicated web site later
- Work together with the NCPs
- Offer our support in data analytics starting 01/2016
- Host the Berlin 13 conference

What you could do:
- Get EoI signed
- Work actively with roadmap
- Establish a network & governance structure in your country
- Perhaps volunteer as NCP
- Contribute to int’l aspect of initiative
- Come again & share your experience

Working groups and a governance structure to be established at some later point