

o p e n a c c e s s

B E R L I N 1 2



## 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 a international transformation initiative for open access

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- 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  
([https://ec.europa.eu/commission/2014-2019/moedas/announcements/commissioner-moedas-and-secretary-state-dekker-call-scientific-publishers-adapt-their-business\\_en](https://ec.europa.eu/commission/2014-2019/moedas/announcements/commissioner-moedas-and-secretary-state-dekker-call-scientific-publishers-adapt-their-business_en))
- Global Research Council Open Access Policy Statements
- Science Europe Open Access Policy Statements
- and many others...

## Borrowing from SCOAP<sup>3</sup>

SCOAP<sup>3</sup> 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 SCOAP<sup>3</sup>

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 it 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

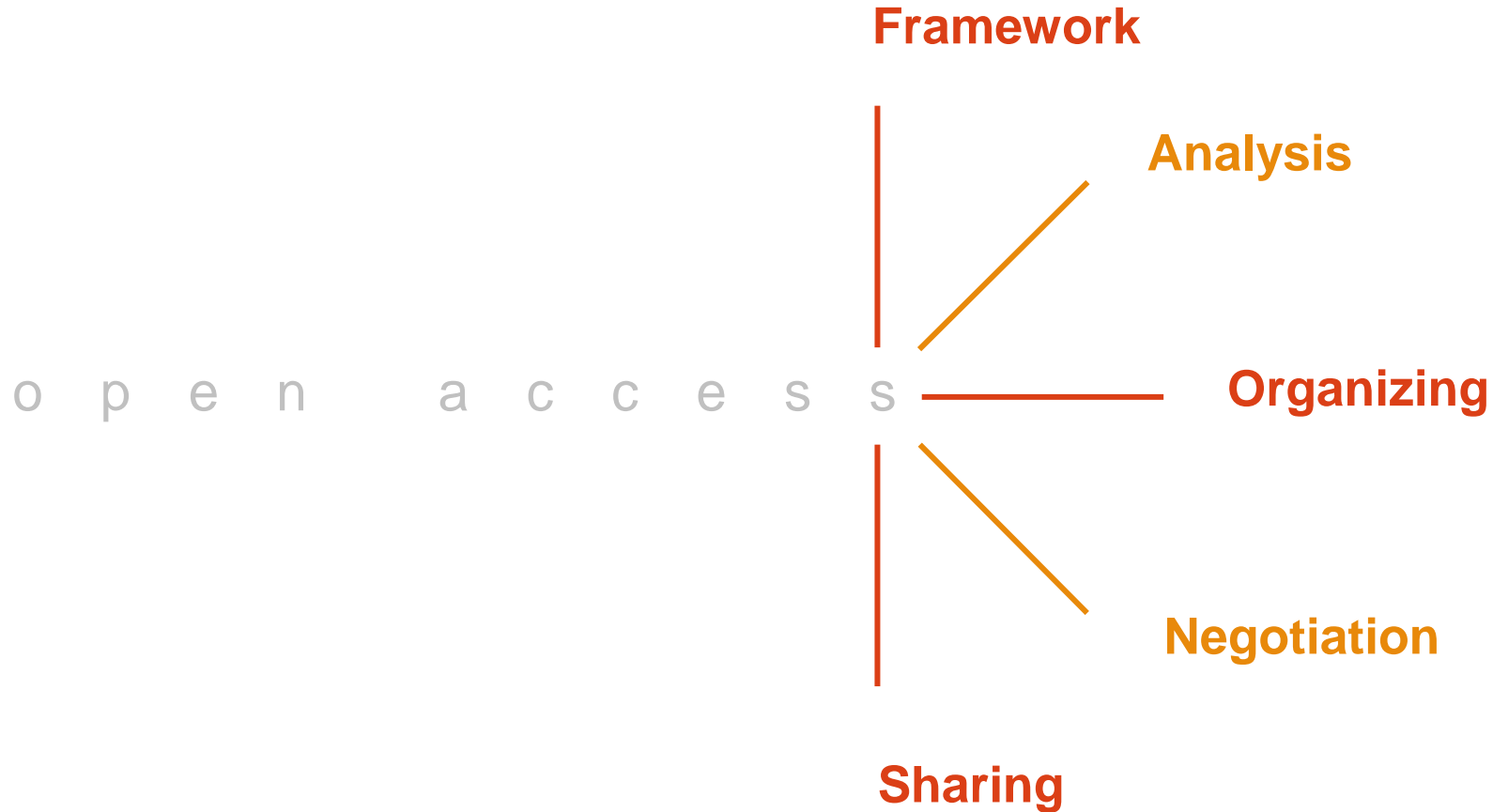
**It means work on the grounds if you want to get involved!**



## Understanding of this roadmap

- 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

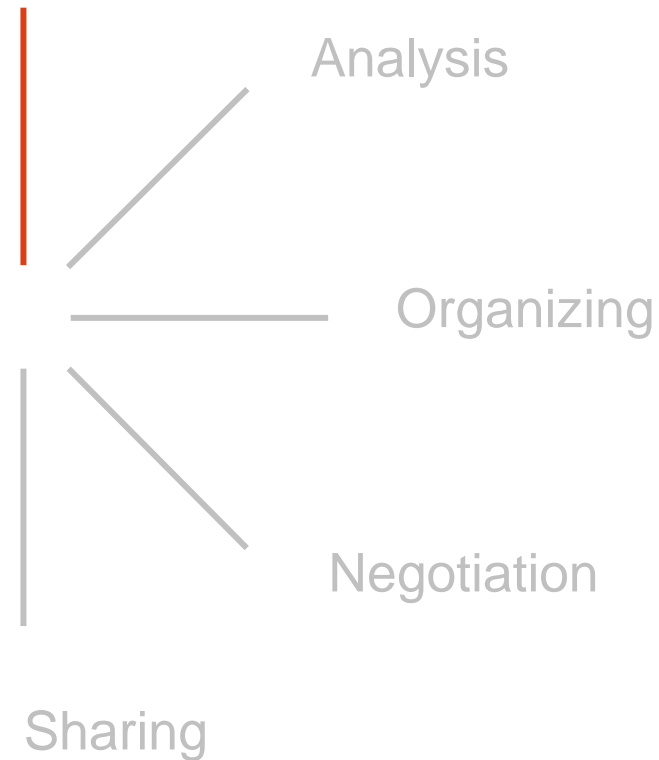


# Activation Phase Roadmap

1

Commit to the initiative and start to establish a transformation network in your country

## Framework

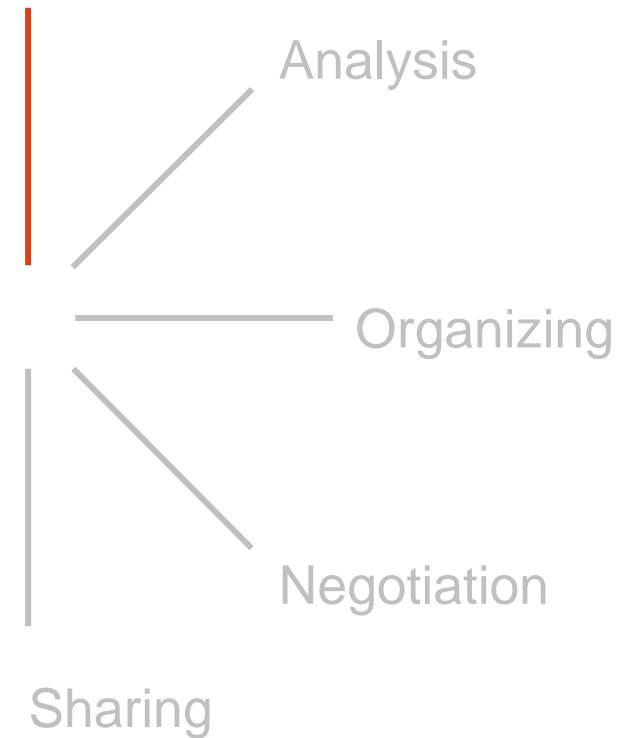


# Activation Phase Roadmap

1

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

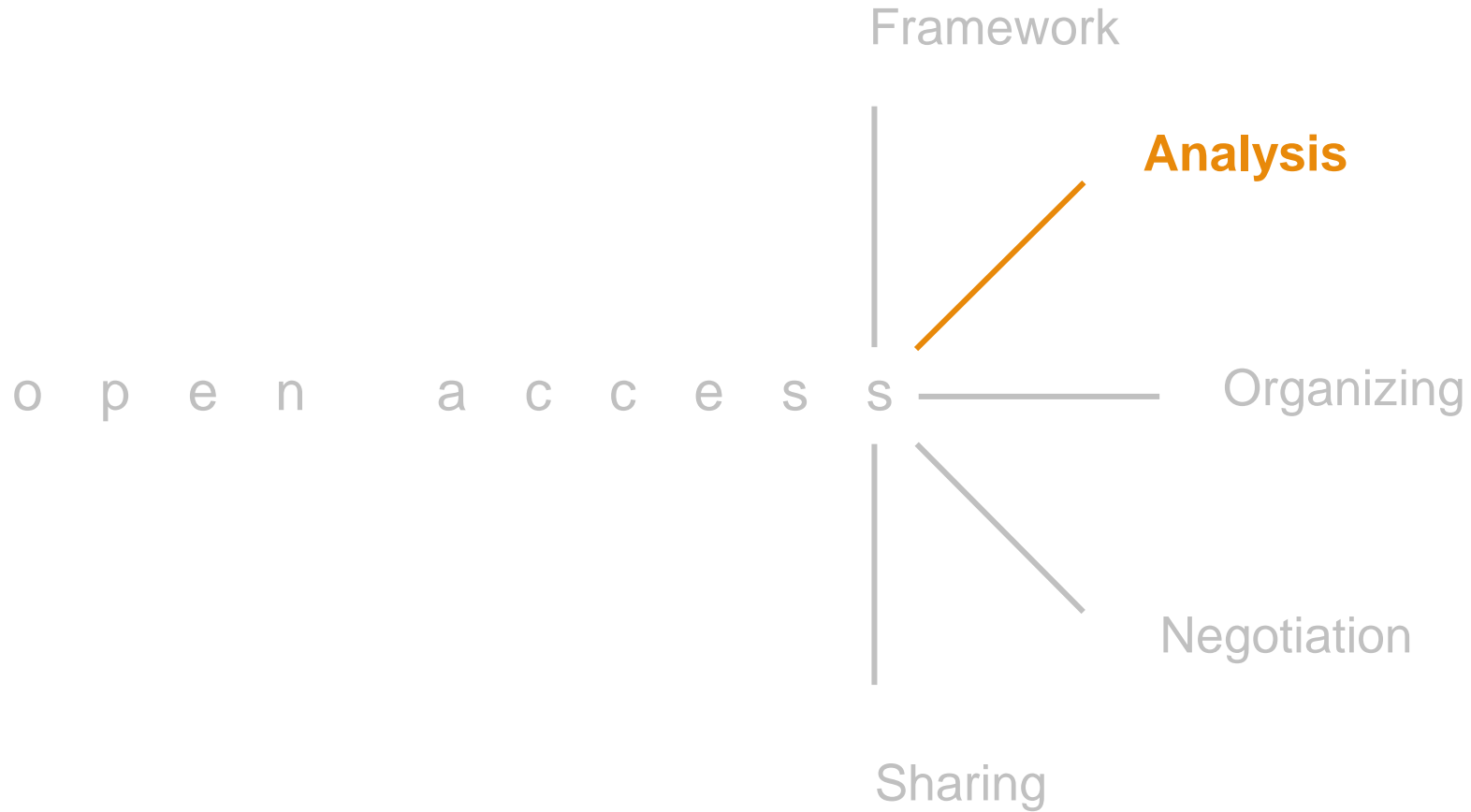
## Framework



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



# Activation Phase Roadmap

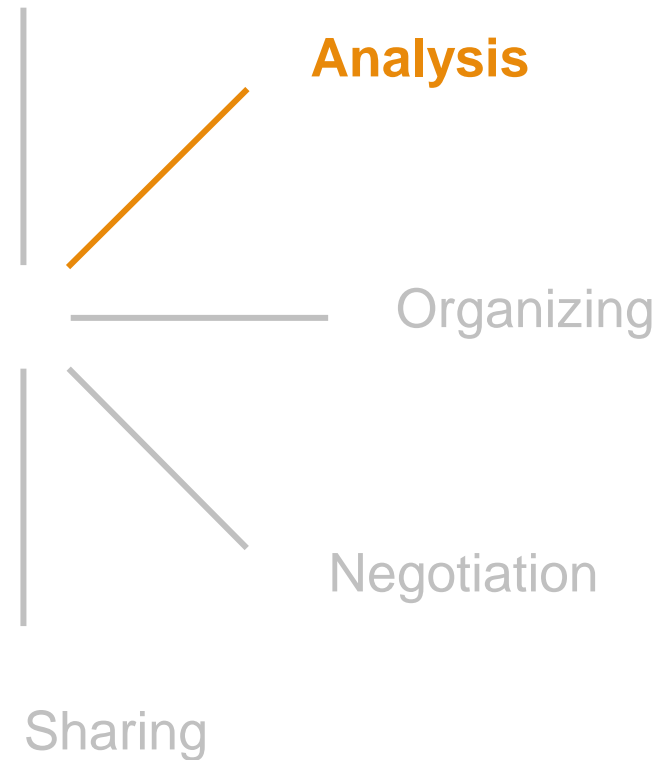


# Activation Phase Roadmap

2

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

Framework

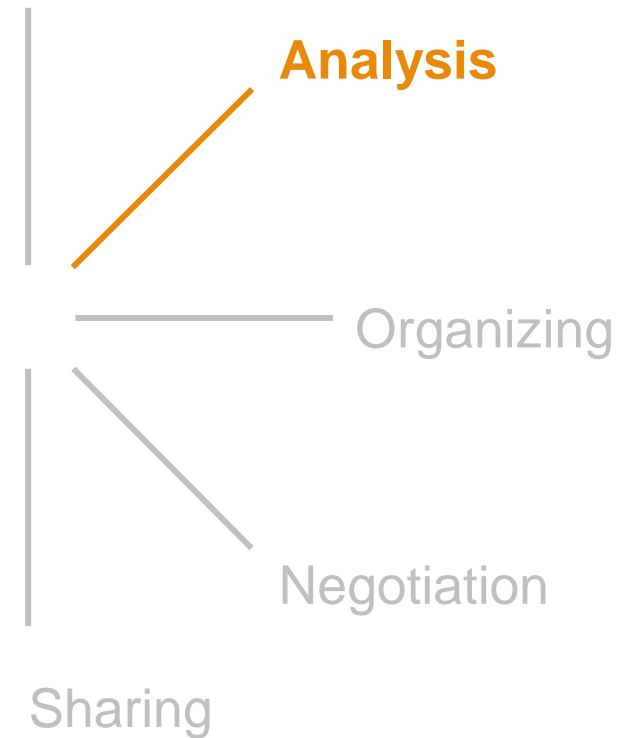


# Activation Phase Roadmap

2

- 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

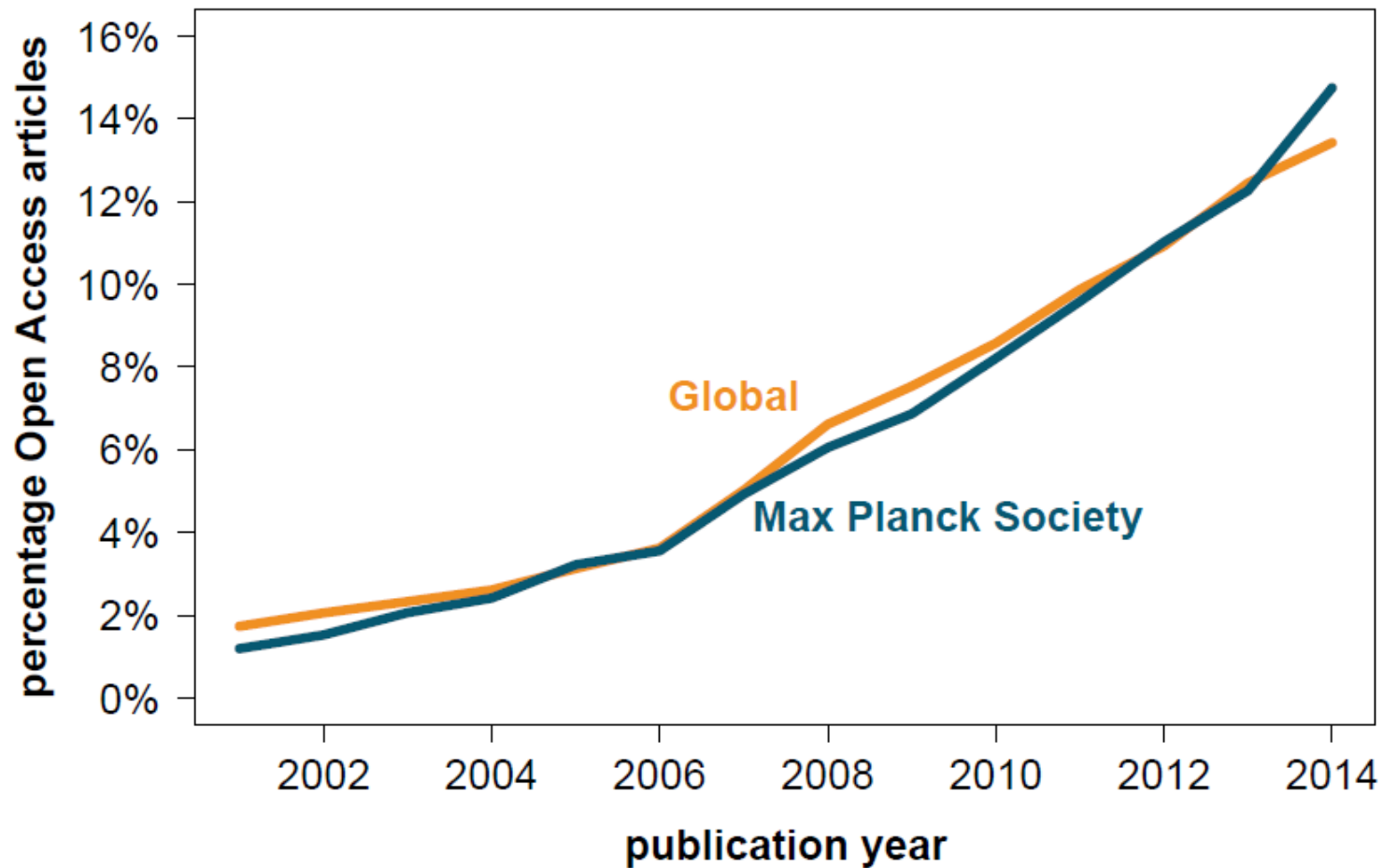
Framework



# Activation Phase Roadmap

## 2 Open Access Gold

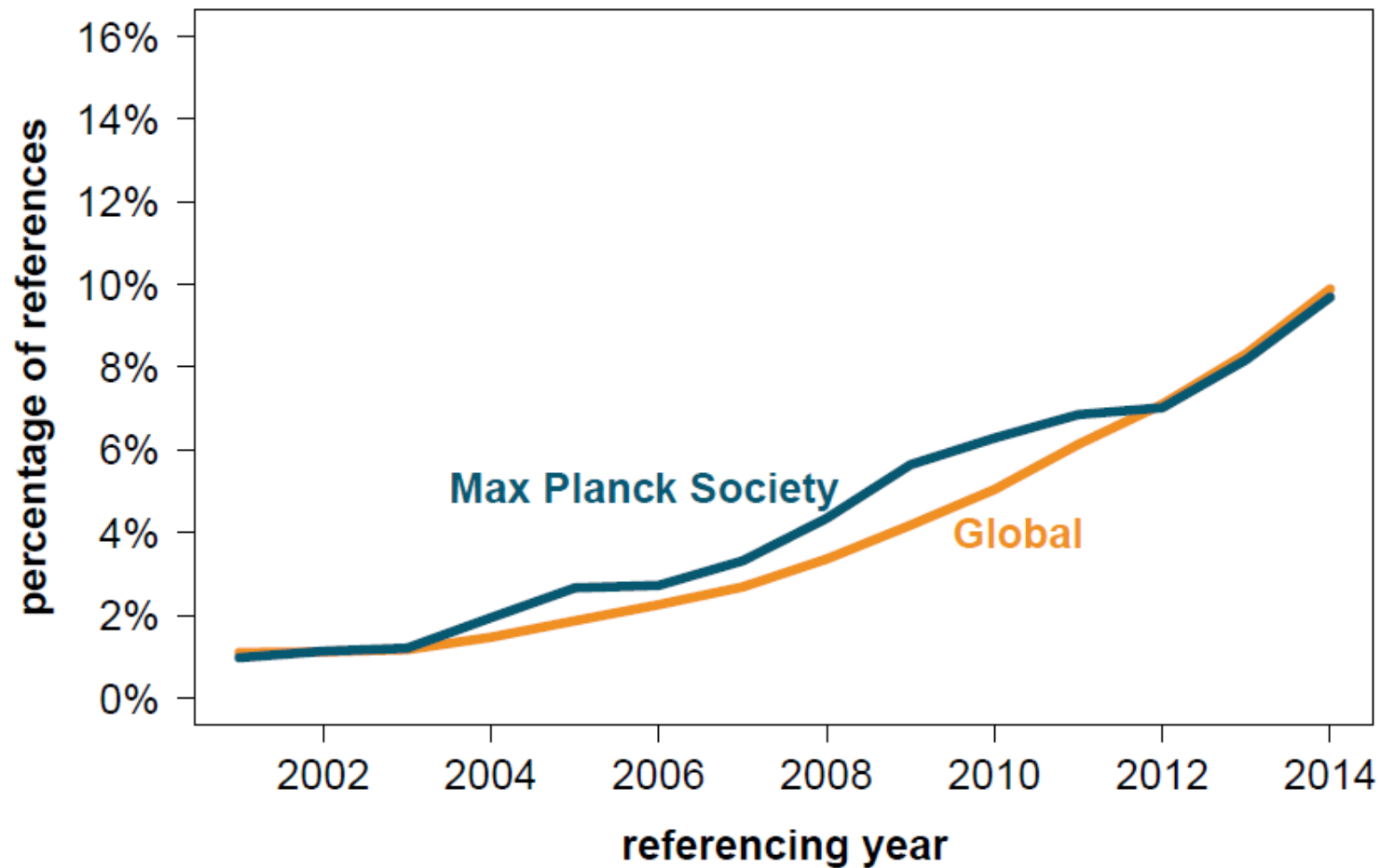
share in Web of Science *articles and reviews*



# Activation Phase Roadmap

## 2 Open Access Gold

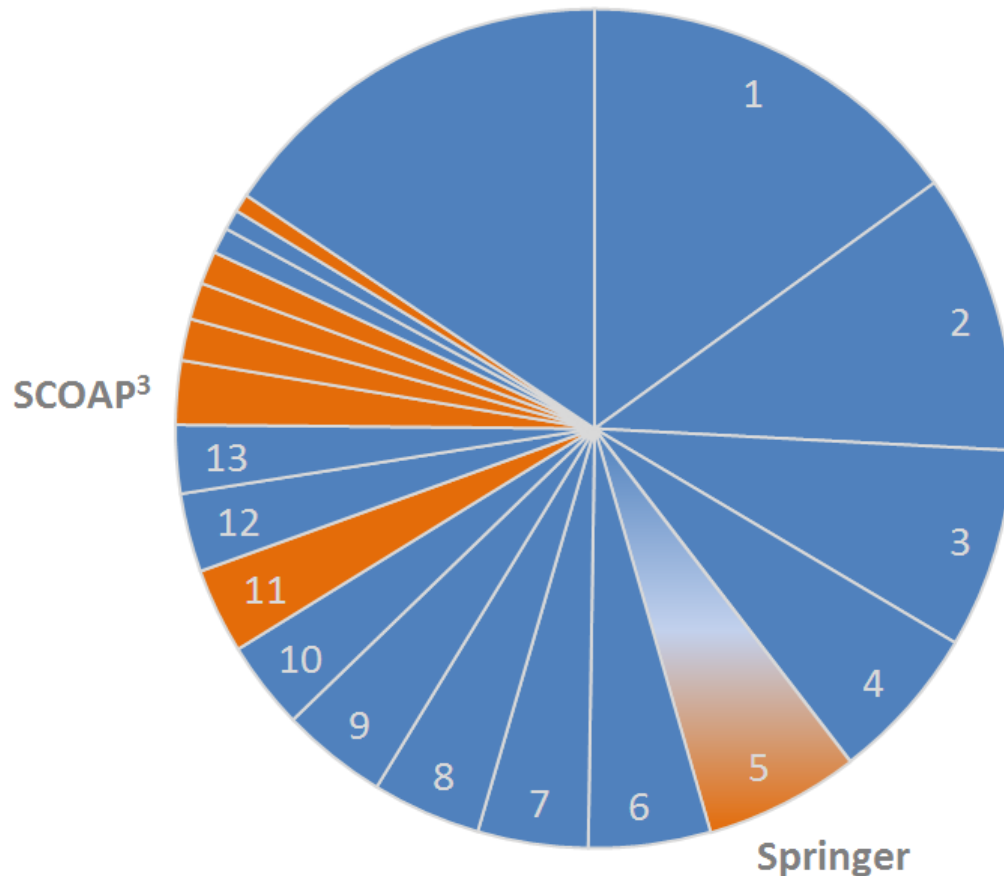
share in Web of Science *references*



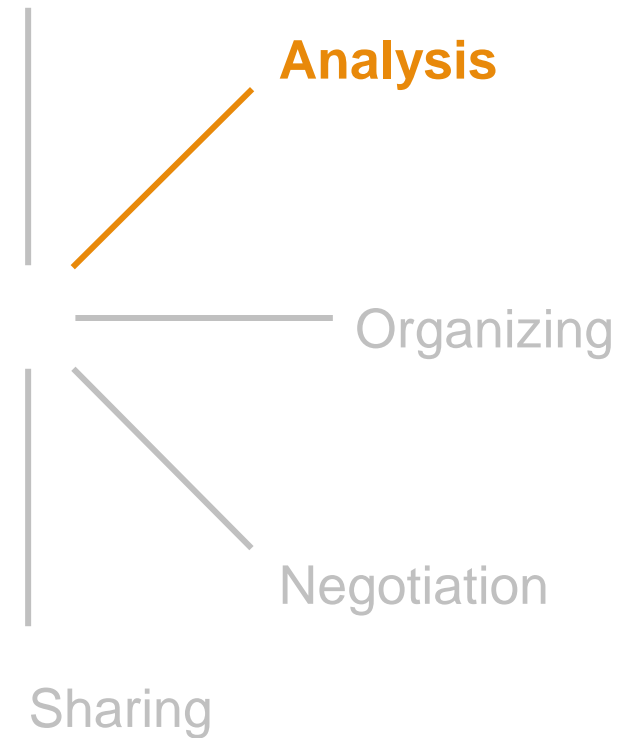
# Activation Phase Roadmap

## 2 MPG publications by provider / OA Gold

articles and reviews in Web of Science 2014

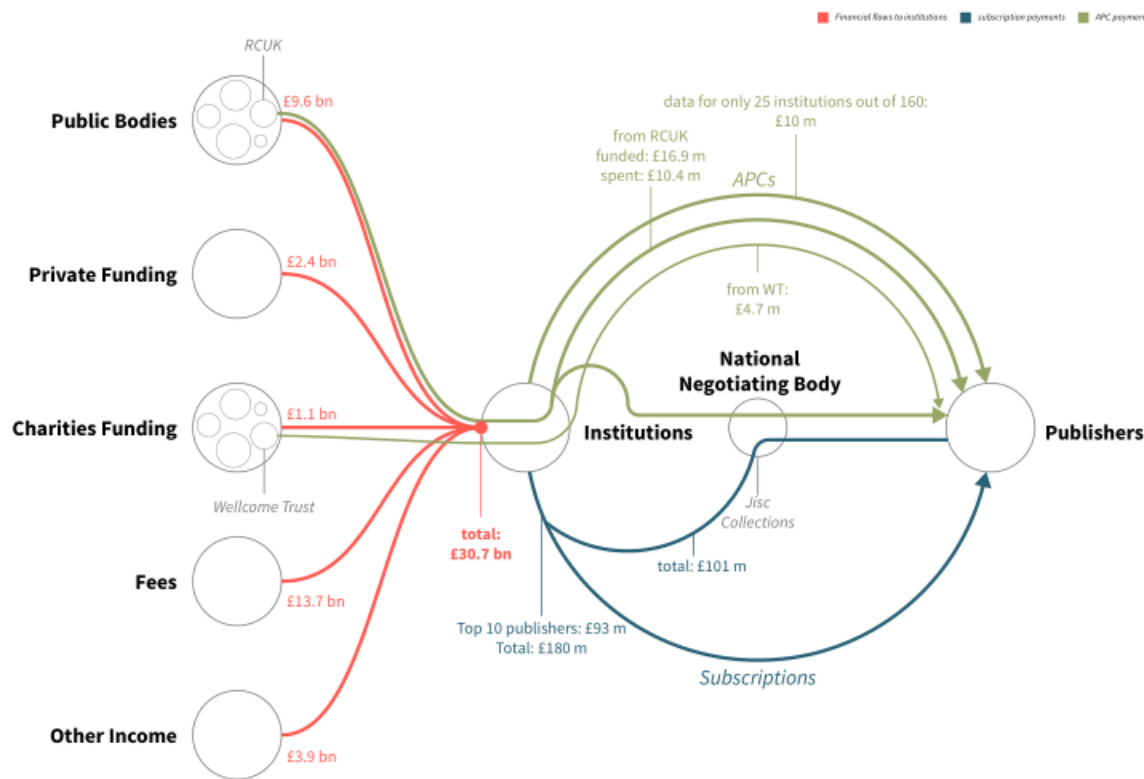


Framework



# Activation Phase Roadmap

## 2 UK model of financial flows in scholarly publishing



Framework

**Analysis**

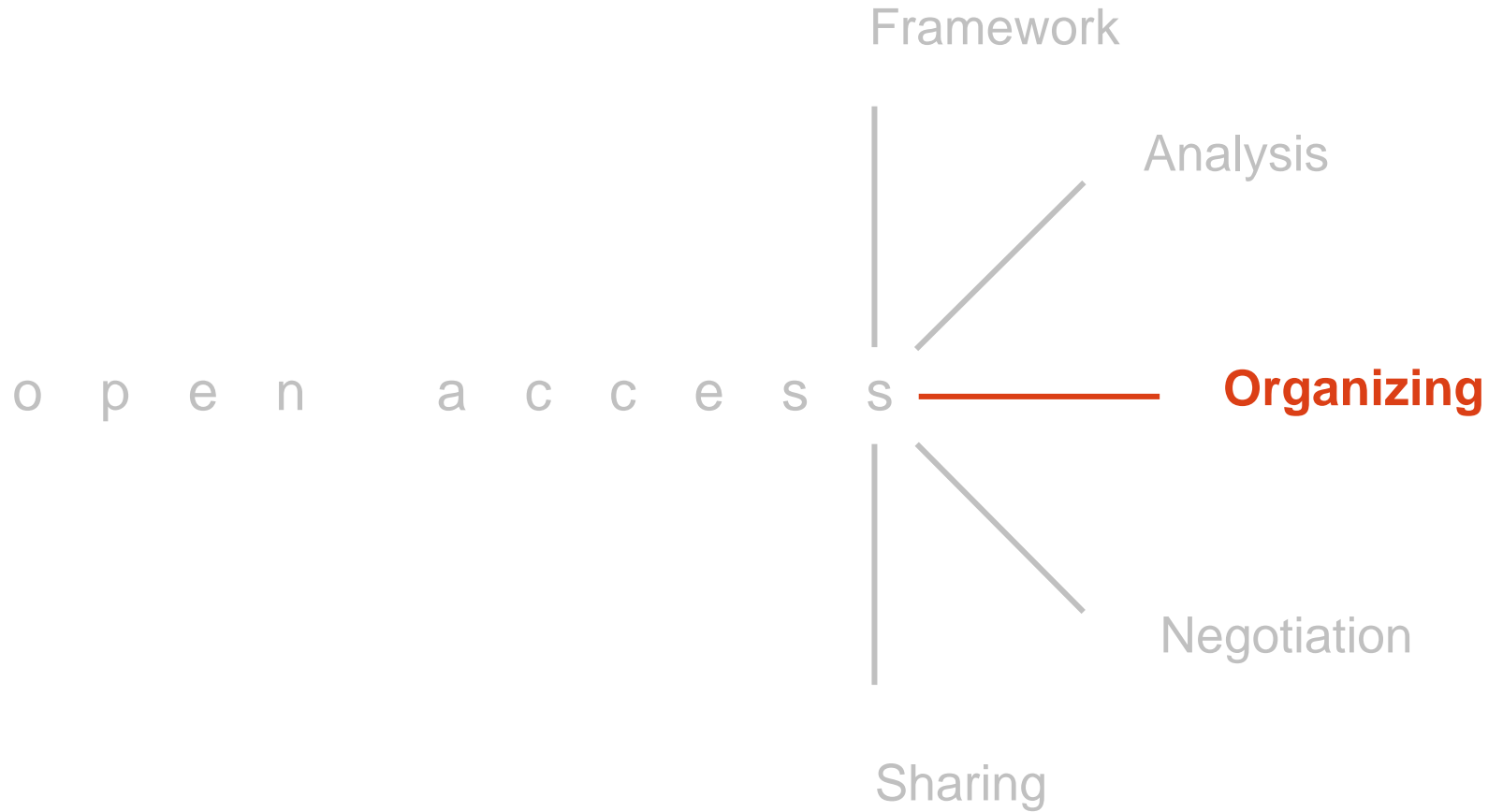
Organizing

Negotiation

Sharing

Source: Opening the Black Box of Scholarly Communication Funding: A Public Data Infrastructure for Financial Flows in Academic Publishing:  
[http://papers.ssrn.com/sol3/papers.cfm?abstract\\_id=2690570](http://papers.ssrn.com/sol3/papers.cfm?abstract_id=2690570)

# Activation Phase Roadmap





# Activation Phase Roadmap

3

Get ready for re-organizing your payment streams and modifying the baselines of your publisher agreements

Framework



# Activation Phase Roadmap

3

- 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)

Framework



# Activation Phase Roadmap

3

- 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.

Framework



# Activation Phase Roadmap

3

## 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.

Framework



# Activation Phase Roadmap

## 3 Open APC – maximizing transparency through visualization



Framework

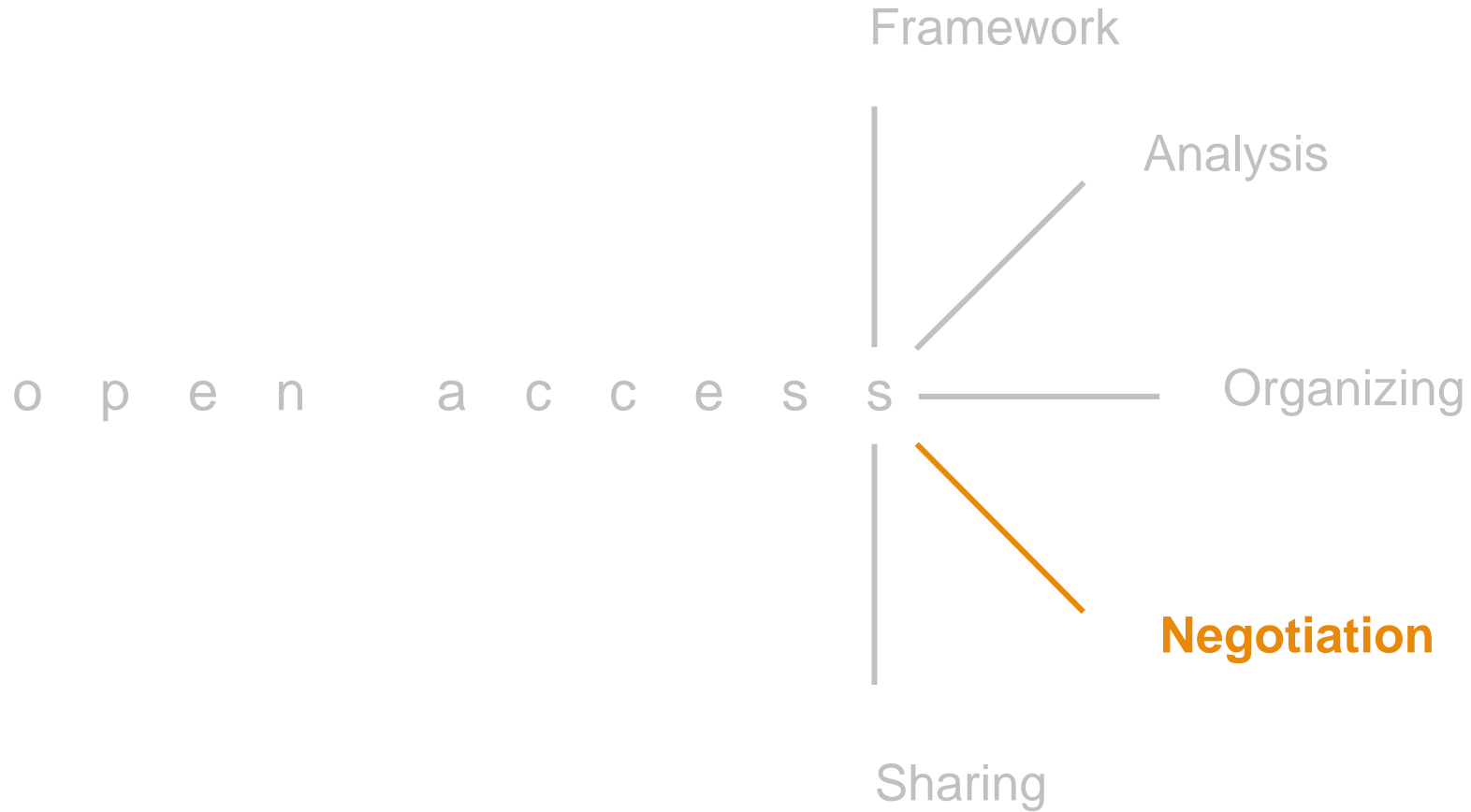
Analysis

**Organizing**

### 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



# Activation Phase Roadmap

4

Rethink your publisher approaches and get more ambitious in your negotiations

Framework



# Activation Phase Roadmap

4

- 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

Framework

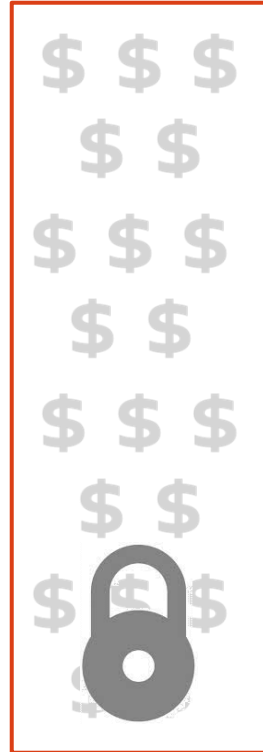




# The standard hybrid model

## Institution

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



Subscriptions



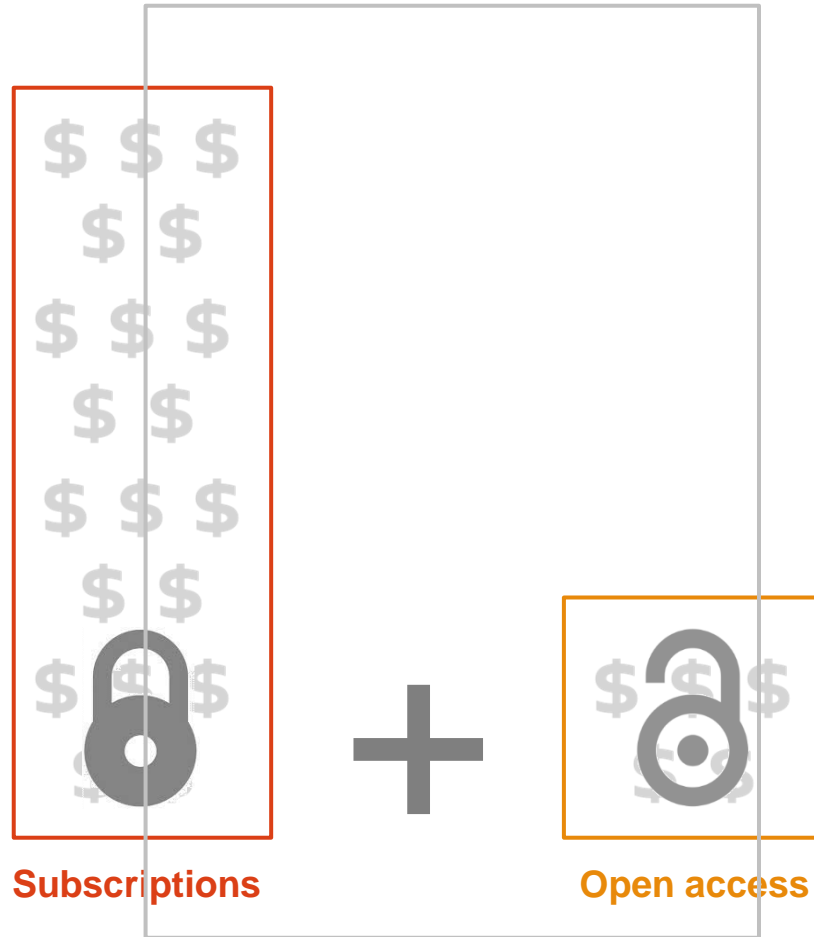
Open access

## Publisher

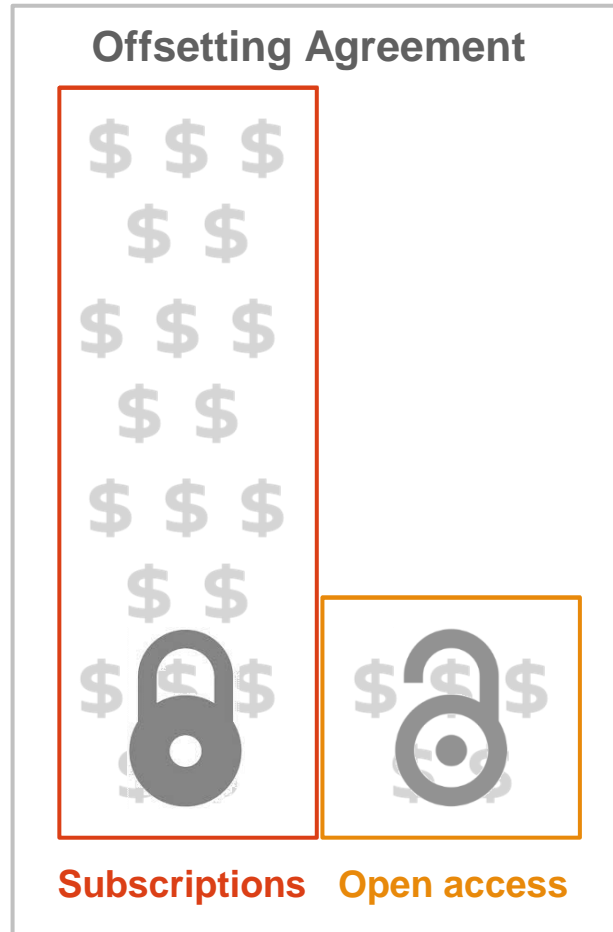
- Provides reading access
- Publishes individual papers open access

**Distinct operating models:  
add-on component with extra costs (“double dipping”) and little incentive**

# The two operating models are combined ...



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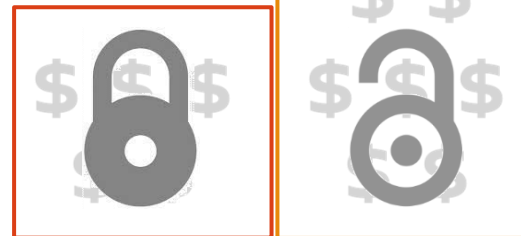


# Offsetting model at work

## Institution

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

## Offsetting Agreement



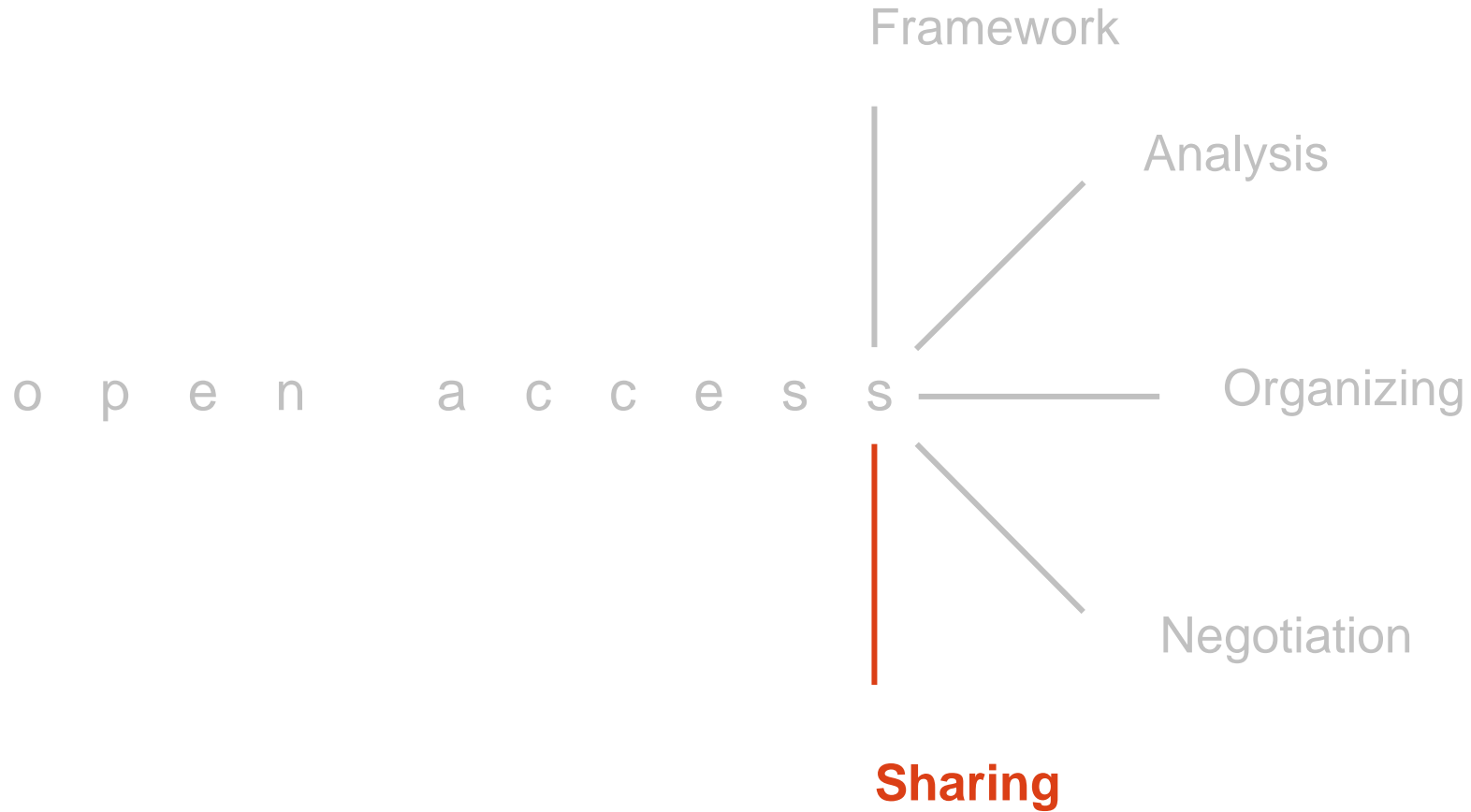
Subscriptions Open access

## 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

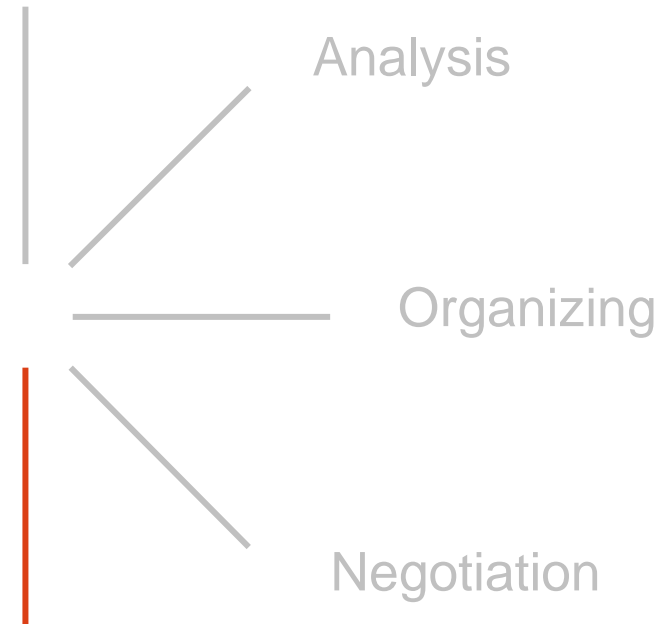


# Activation Phase Roadmap

5

We need to connect,  
collaborate and share  
your experience

Framework



**Sharing**

# Activation Phase Roadmap

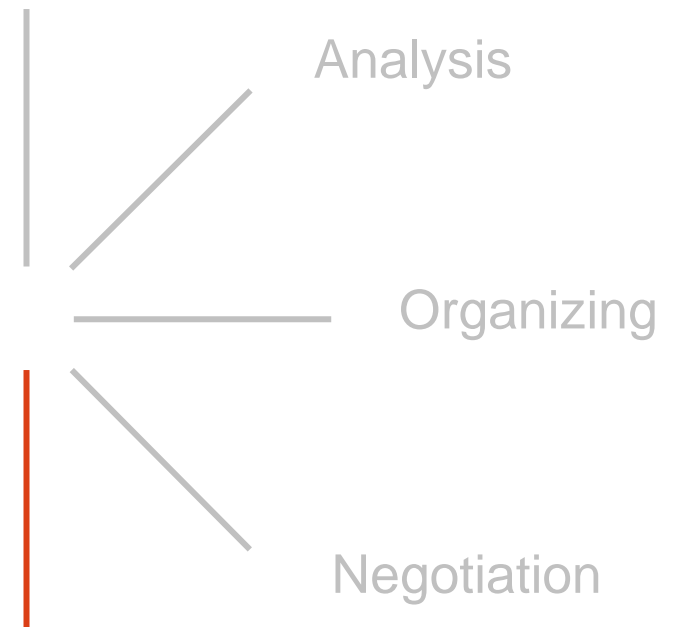
5

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

Framework



**Sharing**

# Activation Phase Roadmap

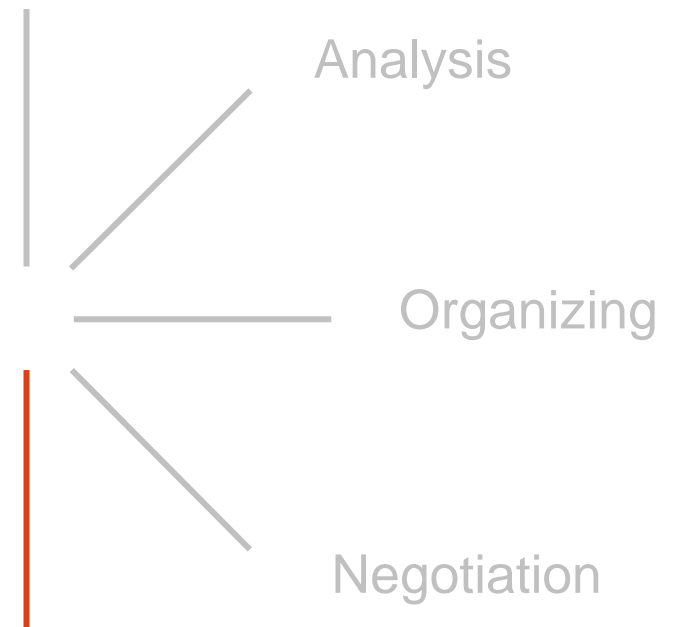
5

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

Framework



**Sharing**

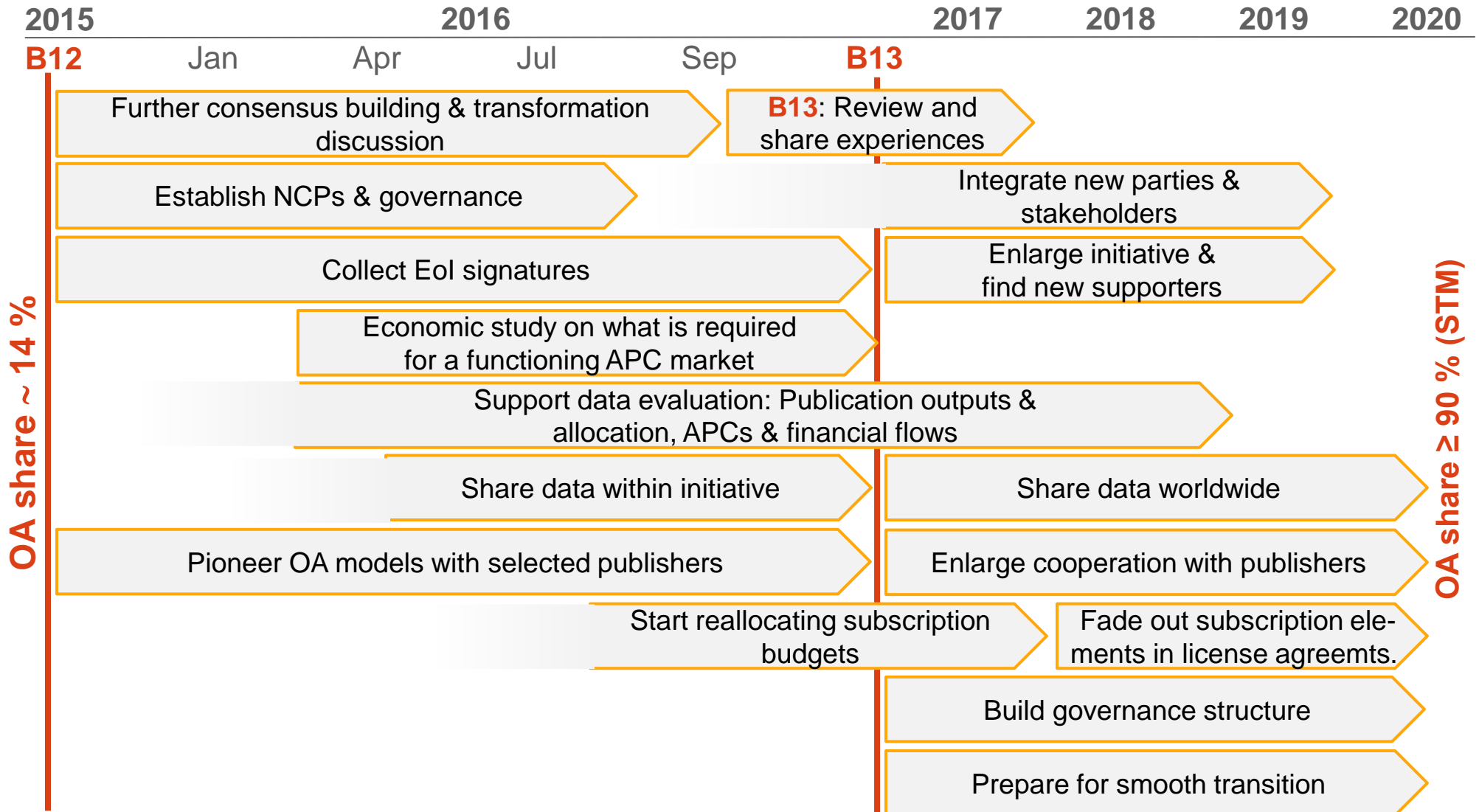


# Activation Phase Roadmap: activity required!

Pursuing the roadmap  
means to...



# From Berlin12 to Berlin13 and beyond



# 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