University of San Diego

Digital USD

Digital Initiatives Symposium

Apr 25th, 12:00 PM - 2:00 PM

Evaluating Publisher Open Access Agreements

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Evaluating Publisher Open Access Agreements

Presenter 1 Title
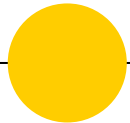Scholarly Communications and Engineering Liaison Librarian

Session Type
Workshop

Abstract

Librarians are highly experienced in analyzing subscription renewal offers. However, more often libraries are receiving offers from publishers for agreements that incorporate fees for "read" access (i.e., traditional subscription access) with open access "publish" payments. In this workshop, we will provide participants with an overview of types of transformative agreements and factors to consider when analyzing offers that include an open access component. These will be applied to scenarios from different types of publishers. If time, there will be a hands-on portion in which participants will learn how to access usage data beyond COUNTER reports. This will include accessing APIs (Application Programming Interfaces) via OpenRefine. The workshop will build on materials created by SPARC's Data Analysis for Negotiation Working Group (https://sparcopen.org/our-work/negotiation-resources/data-analysis/).

Comments

Allison Langham-Putrow is the Scholarly Communication Librarian and liaison to three engineering departments at the University of Minnesota. She has a background in engineering, having earned a Ph.D. in chemical engineering and has over 20 years of research experience. Her current interests are in supporting researchers throughout their research process, but especially in scholarly publishing. She cares deeply about open access to research and works with colleagues (and publishers) on how to make open access happen in an equitable way.

(OA) Deal or no deal?

April 25, 2022

Allison Langham-Putrow, Ph.D.

Slides available at z.umn.edu/DIS2022

Goal

We will be exploring open access (OA) publishing agreements so that at the end of the workshop, you will be able to:

- ◉ Identify key concepts to consider when making values–based decisions
- ◉ Identify data points and resources for help in accessing/generating data

The plan for today

1. Overview of OA publishing models
2. Institutional values
3. Initial questions
4. Data analysis
5. Scenarios
   - Subscribe to Open offer
   - Read & Publish offer
   - Publish & Read offer
6. Closing considerations

1 OA Publishing models

Common OA models

Read & Publish
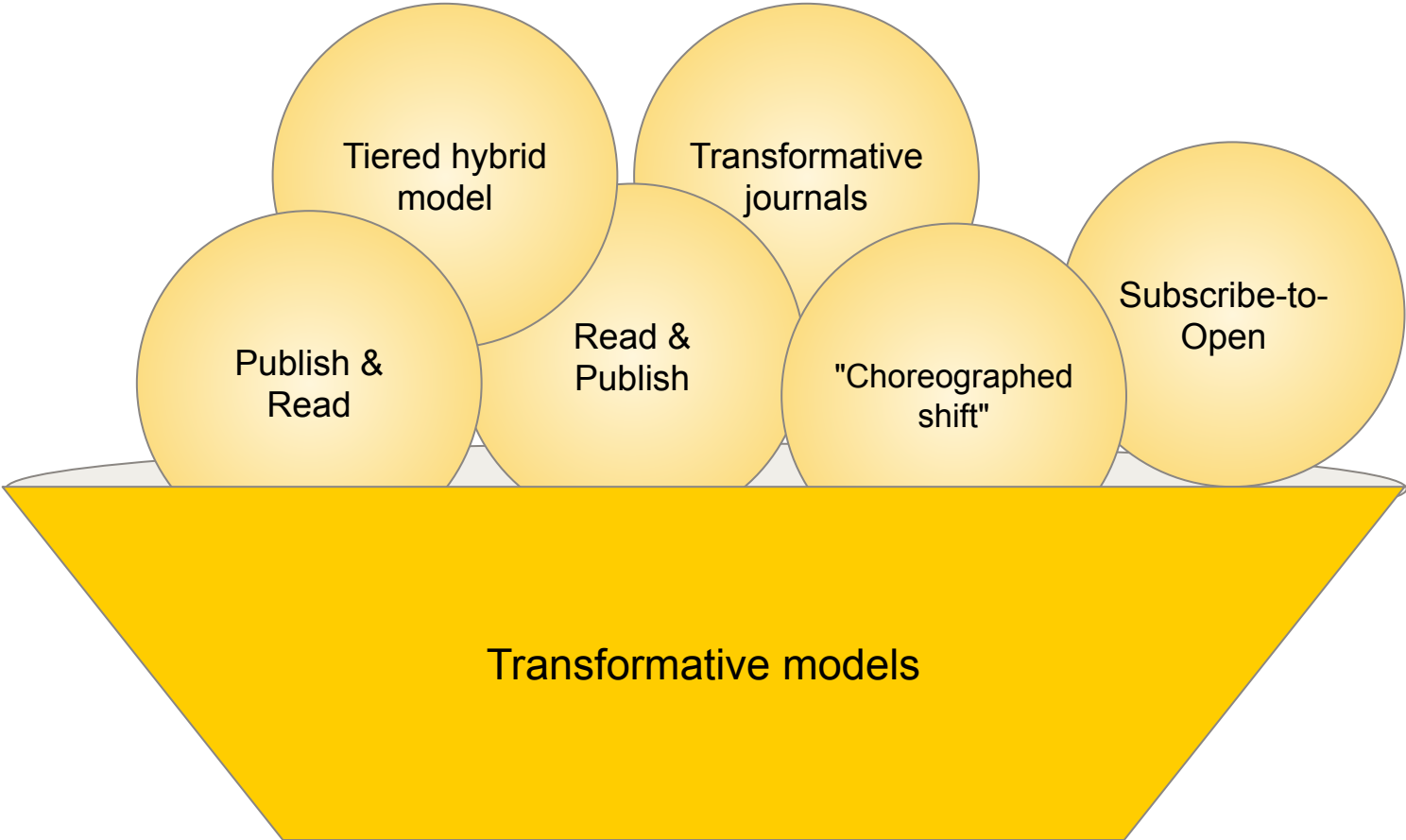
Publish & Read

Tiered hybrid model

"Choreographed shift"

Subscribe-to-Open (S2O)

Transformative journals

Tiered hybrid model

Transformative journals

Subscribe-to-Open

Publish & Read

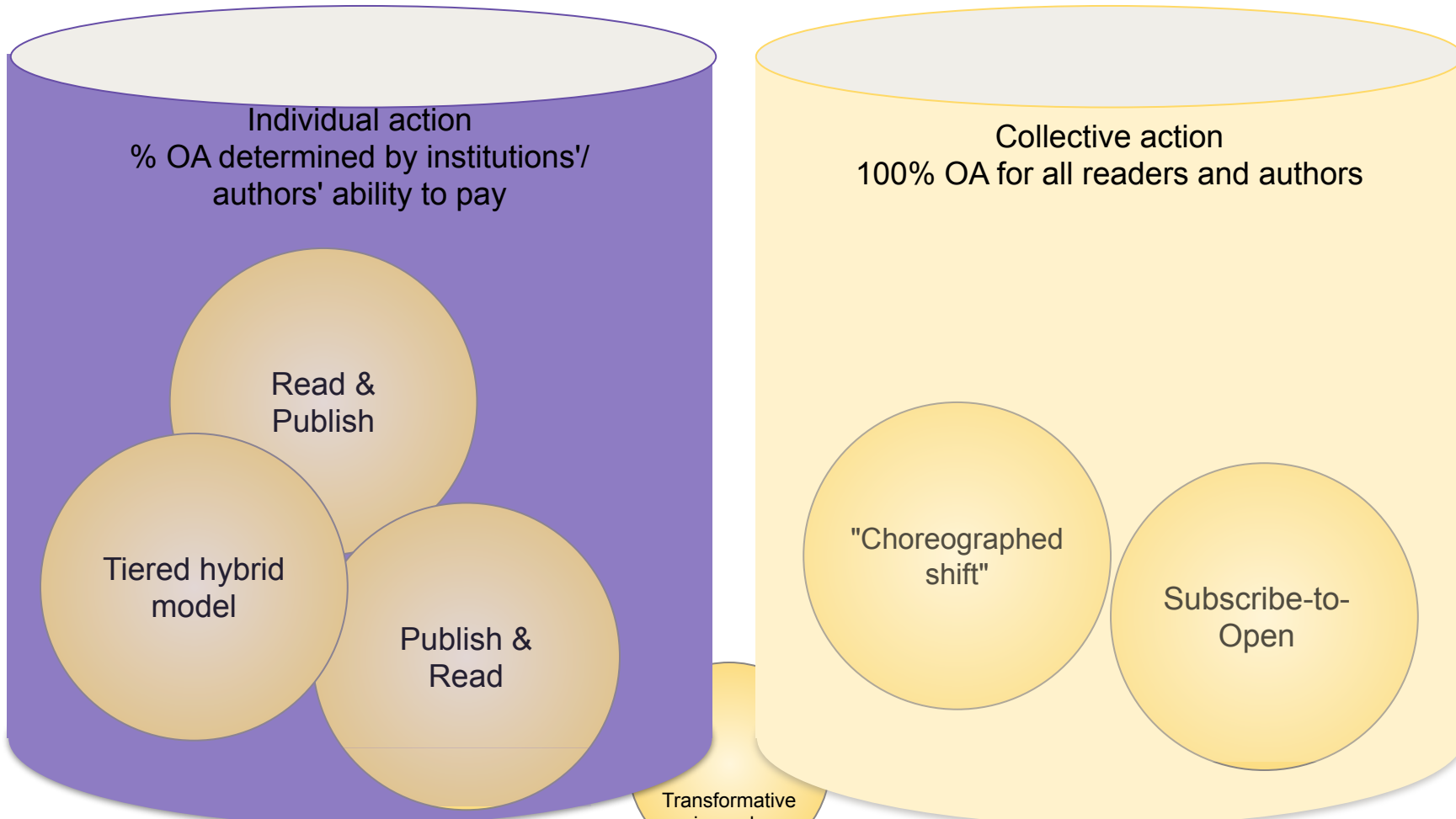Read & Publish

"Choreographed shift"

Transformative models

Two "buckets" of transformative models

Individual action

- OA for authors at the institution
- Small dent in the system
- Excludes voices
- Increased costs for libraries (often)
- Low publisher effort (relatively)
- Low/no threat to publisher profit
- High subscriber effort
- High threat to subscriber (due to uncertainty)

Collective action

- OA for all authors at all institutions
- Transforms system
- Includes all voices
- Similar costs to status quo (usually)
- High publisher effort
- Low threat to publisher profit
- Low/no subscriber effort
- Low/no threat to subscriber (consistent price)

Individual action
% OA determined by institutions'/ authors' ability to pay

Read & Publish
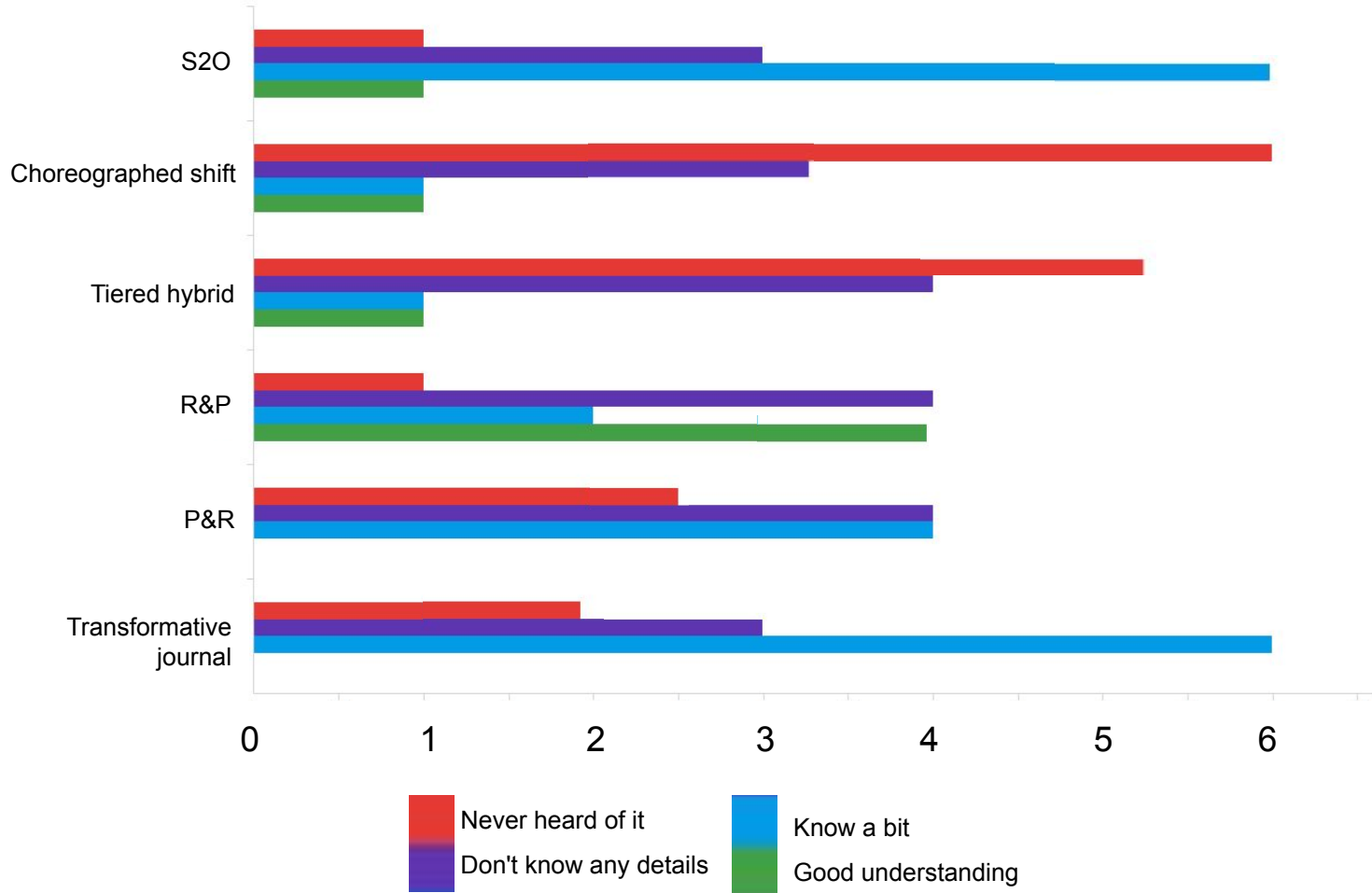
Tiered hybrid model

Publish & Read

Collective action
100% OA for all readers and authors

"Choreographed shift"

Subscribe-to-Open

Transformative journals

Never heard of it   Know a bit
Don't know any details   Good understanding

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Read & Publish

- "Read" fee for access to all content behind a paywall
- "Publish" fee to make the institution's works OA

$$\text{Total payment to publisher} = \text{"subscription-like" payment} + \Sigma(\text{APCs})$$

Σ (APCs) might be

- Total amount paid by institution's authors in the previous year
  - Common assumption that the corresponding author pays the APC
- Based on a discounted APC
- Based on a capped number of articles

Publish & Read

- Similar to Read & Publish
- Often a per article fee ✕ number of articles published in the agreement year

$$\text{Per article fee} = \frac{\text{Average } (\Sigma \text{APCs paid}) + \text{Average subscription payment}}{\text{Average number of articles published}}$$

- Total annual payment can vary (dramatically?) based on output
- Publisher and institution might establish boundaries to manage their risk

Offsetting or formalized double-dipping?

Tiered model

- Publisher creates a tier of fees
  - Typically based on publishing output
  - Could factor size of reading population into tiers (i.e., higher price for larger institutions regardless of publishing output)
- Library's tier might result in a drastic price increase
- Individual action when the tiers are not implemented across all previous subscribers at the same time.
  - With uneven uptake of the model, the publisher might be taking in substantially more income.
- Example: ACM OPEN
  - $100,000 for publishing 75+ articles per year
  - $8,000 for publishing 0–3 articles per year

Subscribe-to-Open and Choreographed shift

Choreographed shift

- "Choreographer" collects funding and makes payments to publisher
  - "Dancers" might be libraries, consortia, publishers, societies, and researchers
  - Complex for the choreographer to implement and manage
  - Payments based on proportion of publishing and/or reading
- Journal(s) become "diamond OA" (i.e., fully OA, no APCs for **any** authors)
- Example: SCOAP3

Subscribe to Open

- Current subscribers continue to pay subscription while opening all material
- Can have "carrots" to encourage participation
  - Discount on previous subscription
  - Access to backfiles
  - Access to non-scholarly content
- Journal(s) become "diamond OA"
- Example: Annual Reviews

Wise, Alicia; Estelle, Lorraine (2019): Towards transition strategies and business models for Society Publishers who wish to accelerate Open Access and Plan S. Wellcome Trust. Online resource. https://doi.org/10.6084/m9.figshare.8398406.v1

Transformative Journals

- A "journal that is actively committed to transitioning to a fully Open Access journal"
- Transformative Journals "differ considerably from hybrid journals in the following ways:
  - They make an explicit commitment to transition to Open Access,
  - They meet transition KPIs (key performance indicators) year-on-year,
  - They formulate explicit policies to avoid double payments"
- The flip will occur when 75% of content is published OA
- Example: Springer Nature

More survey results

Agreements

- Read & Publish: Company of Biologists, Cambridge University Press
- Subscribe to Open: Annual Reviews
- "Choreographed Shift": SCOAP3

Other OA investments

- Open access publishing fund
- Institutional repository
- OER program
- Open Journal Systems
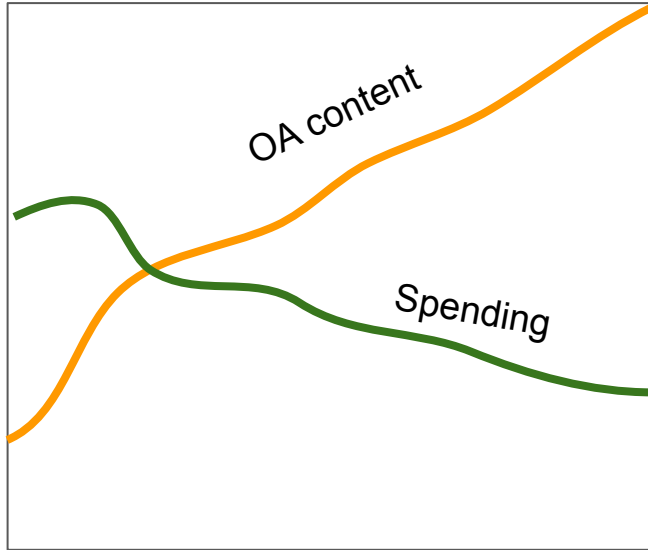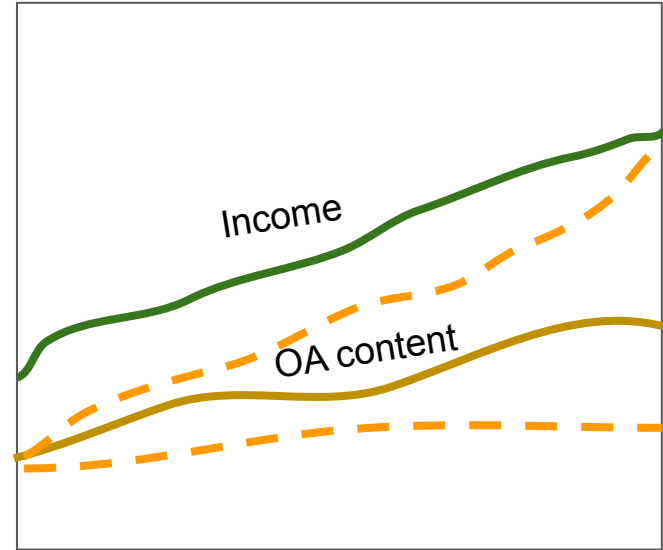
Statements of values/criteria

- <u>SUNY Buffalo</u>

2 Institutional Values

Libraries/Researchers

OA content

Spending

Publishers

Income

OA content

We're not working towards the same goal.

Values statements

Internal purposes

- Create a shared vision
- Clarify beliefs and goals
- Share with library and university stakeholders

External purposes

- Rubric for evaluating offers
- Parameters for negotiations with publishers

Examples: University of Minnesota, Temple, Virginia Tech, University of Pennsylvania, Rowan University

University of Minnesota

We prioritize open access publishing models through collection development strategies that are open, equitable, transparent, and sustainable. These models:

- ◉ Enable researchers to <u>preserve their funding for direct research activities</u> rather than for publication fees;
- ◉ Use transparent, equitable pricing structures that pay for the cost of scholarly publishing and reasonable service development, helping us meet our obligations to be responsible stewards of University budgets;
- ◉ Allow for sustainable cost increases;
- ◉ <u>Provide equitable opportunities for all authors to **publish** and read scholarly literature,</u> regardless of institutional affiliation, funding status, or discipline;
- ◉ In the case of journals, <u>eliminate the revenue stream of article processing charges (APCs)</u>, which are often paid on top of subscriptions.

Towards Open Access at the University of Minnesota https://www.lib.umn.edu/about/towards-open-access

University of Minnesota

We believe that true transformation of the scholarly publishing system should:

- Support academy-owned publishing infrastructure so that scholars and academic organizations are in control of production;
- <u>Require cooperative action and distribute costs equitably</u>. "Subscribe to Open" is one such model that accommodates these priorities.
- Allow for innovation to move from traditional models to next generation publishing formats, such as post-publication peer review (e.g., PubPeer) or overlay journals (e.g., The Open Journal of Astrophysics) that aggregate a collection of publications into something resembling a traditional journal issue.

Towards Open Access at the University of Minnesota https://www.lib.umn.edu/about/towards-open-access

Virginia Tech

WE VALUE:

Sustainability: ...change in the scholarly communication system to ensure sustainability surrounding academic quality, infrastructure, and cost...We leverage infrastructures, leadership, and collaboration to support change in the scholarly communication system.

Equity: We support equity of access and use of knowledge and technologies to advance inquiry, teaching, learning, creativity, and discovery...

Advocacy: ...We are committed advocates for transparent practices and wide dissemination of knowledge, and provide support for those who choose to make their data and scholarship open.

Rowan University

We support open principles and practices in the creation, dissemination and open access to research, scholarship, and creative works. Whenever possible, [Rowan University Library] believes in removing barriers to the creation, sharing, and access to knowledge and information. Our support for open access is rooted in our commitment to:

- Increase the visibility and impact of Rowan University research on a national and global scale
- Facilitate equitable access to scholarly materials for the betterment of society
- Enable interdisciplinary research collaboration via open scholarship and open infrastructure
- Create opportunities for innovative scholarship through open sharing and reuse of research outputs
- Facilitate making publicly funded research openly available to all

Rowan University Open Values Statement. www.lib.rowan.edu/about/open-values-statement

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University of Pennsylvania

Of the thirty principles, five are particularly relevant to our goals to achieve a healthy, open ecosystem for scholarly communications. The Penn Libraries:

1. support broad, open access to scholarly research;
2. preference publishing models that allow <u>equitable participation in the dissemination of scholarly research</u>;
3. <u>prioritize non-profit, society- or academy-led scholarly publishers</u> over for-profit or commercial publishers;
4. believe that a strong competitive marketplace ensures a healthy and robust scholarly communication ecosystem that is financially sustainable for all stakeholders (i.e., authors, libraries, institutions, publishers);
5. <u>encourage experimentation</u> with different acquisitions models during times of upheaval in scholarly publishing and will continue support for those which are sustainable for the long term.

Temple University

After a year spent learning, thinking, talking, and writing, our group came up with four priorities that will guide future decisions as to which open publishing initiatives we support. These priorities include:

- ◉ Non-APC or BPC-based models
- ◉ Initiatives that focus on disciplines that are less likely to have researchers with grant funding
- ◉ Initiatives spearheaded by university presses or scholarly societies
- ◉ Models in which the cost is comparable to a similar paywalled product and/or the change in cost over time is predictable

Balancing Investments in Open Access: Sustainability and Innovation by Annie Johnson. https://commonplace.knowledgefutures.org/pub/anifhf37/release/1
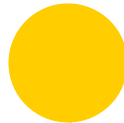
Statement of values

- What values do you consider when you are evaluating offers?
- How do you discuss or demonstrate your values when negotiating?
- Do you have a written statement of values?
- Is your values statement public?

If your institution does not have a statement,
- Do you see anything you would want to adopt? What does/does not fit your institution's situation?

Discussion: What values would you prioritize when making decisions about OA publishing agreements?

Slide 2

3 Questions: Round 1

Do you even want to consider the offer?

Initial questions

- ◉ What were you planning to do before receiving the offer?
  - ○ Unbundling v. R&P/P&R
  - ○ Cancellation v. S2O
- ◉ Is there even a possibility of affording the agreement?
  - ○ What are you currently paying?
  - ○ What kind of increase is the offer?
- ◉ Is the status quo an option?
- ◉ How long will the agreement last?

Values-based questions

- How does the model fit into the larger picture?
    - At your institution?
    - For the broader research community?
- What is the publisher's history? What is your history with the publisher?
- How transparent is the publisher?
- How equitable is the model?

4 Questions: Round 2

What does the data say?

How important is the material to my users?

Downloads/COUNTER statistics

- ◉ What does a download really mean?
- ◉ Usage of OA materials (COUNTER 5 helps)
- ◉ Indicator of use for educational purposes (?)

Authorship

- ◉ Authors often expect access to where they publish, but
- ◉ Authors don't just read where they publish

Citations

- ◉ Indicator of use for research purposes
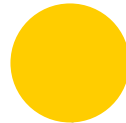
What's currently OA

How much of your authors' work is OA?

- ◉   Do your authors actively choose OA?
- ◉   Are your authors publishing OA in hybrid journals?

How much is currently being spent on APCs?

<u>Always</u> ask for data from the publisher!

ALPSP's Toolkit to foster Open Access Agreements has a very recently released, nice data template
available at https://www.alpsp.org/oa-agreements/workflows

Let's look at some data!

Getting data

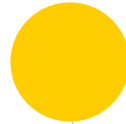Analyzing Institutional Publishing Output:

A Short Course

z.umn.edu/AIPO

Lessons

Section 1

- Lesson 1.1A: Downloading records from Web of Science
- Lesson 1.1B: Downloading records from Scopus
- Lesson 1.1C: Downloading records from the Lens
- Lesson 1.2: Creating projects in OpenRefine
- Lesson 1.3: Unpaywall API query with OpenRefine

Section 2

- Lesson 2.1: Analyzing repository use
- Lesson 2.2: Analyzing funder data
- Lesson 2.3: Analyzing corresponding author
- Lesson 2.4: Cleaning up publisher name variants
- Lesson 2.5: Estimating APCs using ISSNs

Practice Institute of Technology
Short Neck, NY 11111

Practice Institute of Technology

Total publications	943
Articles + Review articles	830
Articles + Review articles found in Unpaywall	697
Gold/hybrid OA	491
"Bronze" OA	23
Green OA	81
Closed	103
Gold/hybrid OA, corresponding author	176
Publisher X	38
Publisher X, corresponding author	8
Publisher X, corresponding author, paid OA	3

5 Scenarios

- Subscribe to Open offer
- Read & Publish offer
- Publish & Read offer

Financial data points

- ◉ What have we been paying?
- ◉ If the publisher says the offer is cost neutral, do you agree?
- ◉ How long will the agreement last and what does that mean for the costs over the length of the agreement?

Offer 1: Subscribe to Open

Current subscription

- Package of 10 journals, all hybrid OA
- 3% price increase each year over the last three years
- Average APC is $2500
- 8 corresponding author publications in the previous year, 3 were OA
- COUNTER shows average-ish usage
- Range of citations per journal over the last 3 years from 0 to 15
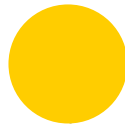 - 15 is high for the institution/discipline

Offer for the next year:

- Subscribe-to-open
- Access to backfiles
- 2.5% annual increase, three-year commitment

  OR

- 3% annual increase, no OA

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Offer 1

Slide 3

Offer 1.1

Current subscription

- Package of 10 journals, all hybrid
- $10,000/year (3% price increase each year)
- Average APC is $2500
- 8 corresponding author publications in the previous year, 3 were OA
- COUNTER shows average-ish usage
- Range of citations per journal over the last 3 years from 0 to 15
  - 15 is high for the institution/discipline
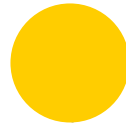
Offer for the next year:

- Diamond OA
- Backfile access
- "Give what you can" [billed like a subscription, not as a donation]

  OR

- 3% increase per year, no OA

Offer 1.1

[Slide 4](#)

Offer 2

Current subscription

- ◉ Big deal ("Big Deal" or "big deal")
- ◉ 3% price increase each year over the last three years
- ◉ Average APC is $3000

Offer for the next three years:

- ◉ Read & publish agreement
  - ○ Current year subscription price + total of APCs paid by your institution's authors in the previous year
  - ○ 2% annual increase
  - ○ Perpetual access
- ◉ Or 5% increase each year (no OA publishing)
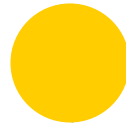
Offer 2.1

Subscription (current)	$500,000
Total articles (any author)	200
Corresponding author articles	40
OA corresponding author articles	10
APCs paid	$30,000
Read & Publish price	$530,000
"Publish" credits	unlimited
Renewal price (no OA)	$525,000

Offer 2.2

Subscription (current)	$500,000
Total articles (any author)	200
Corresponding author articles	40
OA corresponding author articles	10
APCs paid	$30,000
Read & Publish price	$530,000
"Publish" credits	25
Renewal price (no OA)	$525,000

Offer 2.1 or 2.2

Slide 5

Offer 3

Current subscription

- Big deal ("Big" or "big")
- 3% price increase each year over the last three years
- Average APC is $2500

Offer for the next three years:

- Publish & read agreement
  - Per-article-published fee $2650
  - Perpetual access
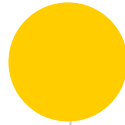- Or 5% increase each year (no OA publishing)
  - No perpetual access

Offer 3

Subscription (current)	$1,000,000
Total articles (any author)	2000
Total Corresponding author articles	400
OA corresponding author articles	20
APCs paid	$50,000
Per article fee	$2650
Total estimated price based on historical publishing	$1,060,000
Renewal price (without OA)	$1,050,000

Offer 3

Slide 6

6 Closing considerations

Other costs

Who will manage the agreement?

- Confirm affiliation
- Confirm eligibility
  - Additional criteria for a capped agreement?
  - Manual approval? Trust the publisher to approve?
- Communicate to your users
  - Retroactive OA communications?

What kind of risk is there for you?

- Change in publishing output
- Unused APC credits
- Lock in for future negotiations

Publisher

What kinds of profits/surpluses does the publisher have?

- ◉ Financial reports for publicly traded
- ◉ 990s for societies

How transparent is the publisher?

- ◉ Do you currently have an NDA?
- ◉ What other institutions are participating?
- ◉ Are the details of other institutions' agreements public?
- ◉ Check ESAC registry

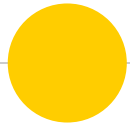How will the agreement affect other authors?

Ask around!

Lewis, D.W. (2018). Scholarly Societies and the Newspaper Problem. https://hdl.handle.net/1805/17836

The (as yet) unasked question

What else could you spend the money on?

[Slide 7](#)

Thank you!

Allison Langham-Putrow, Ph.D.
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Presentation slides: z.umn.edu/DSI2022
Short course slides: z.umn.edu/AIPO