



WEBINAR 2: FUNDING PATHWAYS FOR LEARNED SOCIETY OPEN ACCESS PUBLISHING

TODAY'S SPEAKERS

- **Curtis Brundy**, Associate University Librarian for Scholarly Communications and Collections at Iowa State University
- **Kamran Naim**, Head of Open Science at CERN
- **Malavika Legge**, Director of Publishing at Portland Press
- **Scott Delman**, Director of Publications for the Association for Computing Machinery (ACM)
- **Kathryn Spiller**, Licensing Manager at Jisc

3-PART WEBINAR SERIES

UNDERSTANDING LEARNED SOCIETIES

20 NOVEMBER 2019 7:30 A.M. – 9:00 A.M. PST / 3:30 P.M. – 5:00 P.M. GMT

Join society publishing experts in a deep dive into the modern purposes, functions, and needs of scholarly societies—with particular attention to the publishing opportunities and challenges they face within an evolving scholarly communication ecosystem.

FUNDING PATHWAYS FOR LEARNED SOCIETY OPEN ACCESS PUBLISHING ←you are here!

6 DECEMBER 2019 7:30 A.M. – 9:00 A.M. PST / 3:30 P.M. – 5:00 P.M. GMT

We next provide an overview of a variety of funding models that scholarly societies may consider in transitioning to open access publishing. We will explore the implications of each funding strategy—the pros and cons—as well as associated implementation needs or partnership dependencies.

ENGAGING SOCIETIES AND SOCIETY JOURNALS IN TRANSITIONING TO OPEN ACCESS

12 DECEMBER 2019 7:30 A.M. – 9:00 A.M. PST / 3:30 P.M. – 5:00 P.M. GMT

The webinar series concludes with an exploration of how authors and libraries can work with and support society journals and publishers as they prepare for and undertake an OA transition. We will examine the kinds of resources, consultations, and advocacy both needed and available for authors, libraries, and society journals.

More information and registration: <http://ucblib.link/2Vf>

Non-APC Open Access: The Subscribe to Open Model



WHY PURSUE NON-APC OA

- Increased momentum towards OA: motivated by funder mandates, values of scholarly community and mission imperative (for non-profit publishers/societies in particular)
- Predominant OA models that rely on APCs not suitable for all publishers
 - Lack of grant funding in some disciplines
 - Exclusionary potential of APCs for researchers in marginalized communities (particularly low-income countries)
 - Incompatible with certain forms of research output (e.g. commissioned review articles)

“

data analysis shows that there is enough money already circulating in the global market... in the subscription system and that could be redirected and re-invested into open access business models

(Schimmer, Geschuhn, and Vogler, 2015)



Will libraries redirect subscription spends to support costs of publication and support OA?

Private Provision of Open Resources

Two principal approaches for addressing collective action problems:

1. Leverage group affinity and social incentives to encourage pro-collective behavior
2. Induce institutions to participate through economic self interest

Collective Funding Models are Viable

- Knowledge Unlatched and Open Library of the Humanities
strong examples
- Motivate participation through altruism, pro-group behavior
and private benefit (e.g. governance input)
- Not yet proven scalable to many other publishers

Subscribe to Open Model Origins

- Annual Reviews working with Raym Crow of Chain Bridge Group Consulting / SPARC
- Funded through grant from Robert Wood Johnson Foundation

Transition Model

Elements

- Provide an adequate local incentive for institutions to participate
- Ensure that institutions continue to participate over time
- Satisfy institutional procurement policies that forbid donative payments
- Preserves vendor/customer relationship rather than altruistic collective contribution

Subscribe to Open

Underlying Logic

- Selecting S2O is in an institution's economic self-interest
- Targets current subscribers
- Avoids collective coordination
- Uses existing procurement processes
- Guarantees OA only with full participation
- Recurs annually

Subscribe to Open Logic

Economic Self-Interest

- S2O offered at discount over price of subscription
- Only way to guarantee access to content is through participation in S2O
- If not everyone participates (offer failure), discount honored for S2O
- Participating institutions benefit regardless of action of others
- In event of offer failure, non-participating institutions would need to pay regular (i.e. undiscounted) subscription price

Subscribe to Open Logic

Targets current subscribers

- Journals' subscriber base by definition represents institutions with expressed demand for content
- S2O not premised on attracting contributions beyond existing base
 - Potential perception that participation is voluntary rather than self-interested
 - Require expensive and time consuming collective coordination
- Once opened, supplementary funding models (e.g. targeting high-use non subscribers) could be explored

Subscribe to Open Logic

Avoids collective coordination

- Leverages economic self interest
 - Cannot be considered a donation
 - Avoids altruistic appeal
 - Does not require collective coordination
- Does not use revenue targets or progress indicators (e.g. thermometers), which might introduce group/collective dynamics and undermine the model

Subscribe to Open Logic

Uses existing procurement processes

- Offer communicated through conventional subscription/renewal system
 - Leverages established workflows, agent relationships, sales staff/infrastructure
- Avoids article-level transactions and workflows of APCs
- Maintains existing relationship between publisher and libraries (and associated budgets, etc.)

Subscribe to Open Logic

Guarantees OA with full participation

- Necessary to reinforce that S2O is a subscription: only way to guarantee access is through participation
 - Is an institution-specific decision
 - Cannot be interpreted as a voluntary donation
- Control of decision to publish OA remains with publisher (once internal revenue expectations have been met)
- Signals need for every institution to participate
- Accommodate natural levels of attrition

Subscribe to Open Presentation

For an Individual Journal to “Subscribe to Open” and Save 5% —

- We will “Subscribe to Open” for 2020 and receive a 5% discount. We understand that open access to [journal name] in 2020 is only guaranteed if all subscribers participate. We will receive the 5% discount even if the content remains gated.

Subscribe to Open Presentation

For collection subscribers, the invoice copy might read:

- “Subscribe to Open” for 2020 and receive a 5% discount on the [journal name] portion of the collection price. We understand that open access to [journal name] in 2020 is only guaranteed if all subscribers participate. We will receive the 5% discount even if the content remains gated.

Subscribe to Open Logic

Rekurs annually

- Stability of model requires continued participation of sufficient subscribers to meet revenue requirements
- Offer should be repeated each year
 - Same logic applies—i.e. discount for participation, risk of non participation—in subsequent years
- Provides publisher with option to revert to subscription model if collective action fails (lower risk)
- S2O remains a subscription (demand-based) procurement model

Subscribe to Open

Summarized

To summarize the basic elements of S2O, the offer:

- Targets a journal's current subscriber base using existing subscription procurement processes.
- Motivates participation via the economic self-interest of subscribers.
- Avoids reliance on altruism and pro-collective behaviour.
- Recurs annually to ensure ongoing participation and stable revenue.

Questions?

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‘Transformative Renewals’ – transition pilots from a
small, self-publishing learned society

6 December 2019

SocPC + TSP-OA webinar



BIOCHEMICAL
SOCIETY



PORTLAND
PRESS

Biochemical Society + Portland Press

Scientific events

Disseminate and share knowledge

Bursaries and travel grants

Publishing (via Portland Press)

Awards

Training

Public engagement

Policy

Education

Careers support/guidance



Problem we are trying to solve with OA

News

A refreshed agenda and the 'open' road

This article announces the Biochemical Society and Portland Press' joint commitment to commencing a sustainable and equitable transition to open access and describes early steps on our road to a more 'open' ethos. The paywall conundrum is explored as part of this, and Portland Press' first steps towards transformative models are described.

The Biochemical Society was established in 1911, during the early origins of molecular biology, and it is the largest UK-based single-discipline learned society in the biosciences.

The most recent Annual General Meeting of the Society on 25 July 2019 saw the launch of a revised strategy for the period 2019 to 2021. This refreshed agenda covers both Biochemical Society activities and those of its wholly-owned publisher, Portland Press under the headline themes outlined in Box 1.

Box 1. Overarching themes of the Biochemical Society Strategy—summer 2019 to end 2021

- Bring together molecular bioscientists
- Support career development and lifelong learning
- Encourage wider dialogue and work collaboratively across and beyond our community
- Promote and share knowledge
- Promote the importance of our discipline and, through this, the broader life sciences
- Ensure sustainable support for the advancement of science

During a period of considerable change in the political, scholarly publishing and research funding landscapes, with issues ranging from Brexit to ~~Plan S~~, the Biochemical Society's goal is to ensure we can continue to fulfil our mission in a rapidly changing world. The relationship between the Society and Portland Press is



A key strand within the strategy, and one that touches all the overarching themes is commencing a transition to a more open ethos.

Fostering openness; identifying barriers

Our aim is to support the dissemination and advancement of science, delivering opportunities to share knowledge and expertise, to critically discuss ideas and provide forums in which to collaborate.

The advantage of the Society remains not lost.

Downloaded from https://academic.oup.com/biochem/advance-article-abstract/doi/10.1093/biochem/btq001/5488827 by University of Oxford user on 22 October 2019

1. Mission of the Society and service to the community
2. Stepping stone to open scholarship
3. Staying sustainable by rewiring subscription income in favour of (OA) publishing

OPEN SCHOLARSHIP position statement from the Biochemical Society and Portland Press

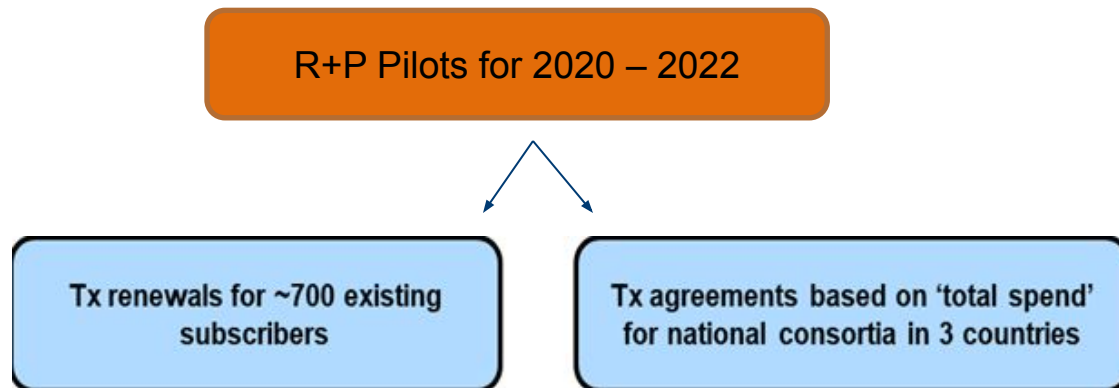
October 2019

Open scholarship is the name given to a change in the culture of scholarly research, enabled by developing technologies and new opportunities for communication and collaboration. It encompasses topics including open access, open data, metrics, research integrity and public

<https://doi.org/10.1042/BIO0410405>

4

Learning by doing...



*Tx = transformative

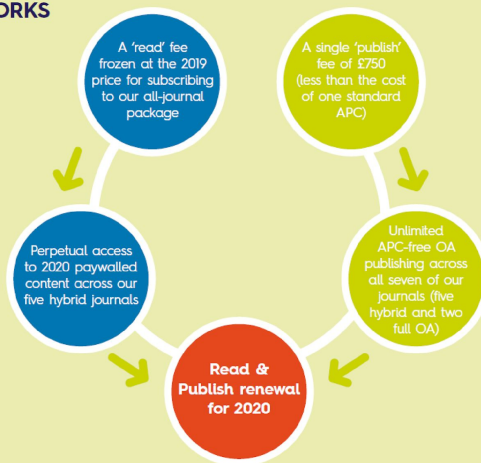
Combines 'Read' and 'Publish' into a single offering against one fixed price

Tx Renewals

OPTIONS IN THE RENEWAL CYCLE



HOW IT WORKS



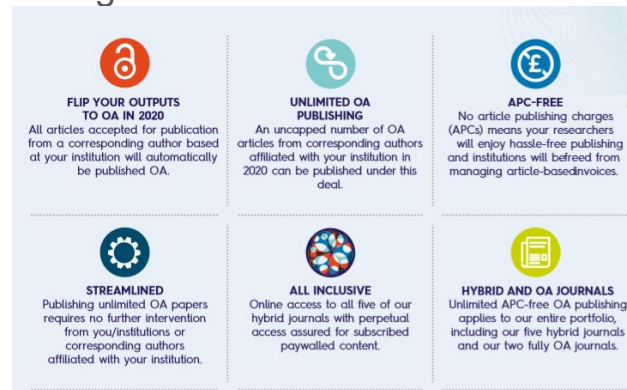
What does this mean for libraries?

1. Rewiring current (subscription) spending via institutions
2. Removing individual-APC invoices for affiliated corresponding authors
3. 'Uncapped' so supports as much OA publishing as possible

'All inclusive'
Tx renewal

'All inclusive' Tx renewal =

- a. Uncapped, APC-free OA publishing for corresponding authors in ALL journals (5 hybrid and 2 full-OA)
- b. 'Read' access to paywalled content with post-termination access



Pros and opportunities

- (RE) connecting and conversing with institutions
 - Harnessing existing workflows allowing direct or agent-led renewals
 - Could help attract more content and grow the journals
 - Frictionless OA reducing per-article invoices
 - Simple approach to pricing; value for money when compared with ‘total spend’ (i.e. spend on subscriptions plus APC)
 - Scalable as no ‘counting down’ or ‘tokens’ or ‘waivers’
- All articles from eligible authors are OA articles by default
- The “uncapped OA” principle is in use with other learned-society publishers



Challenges and risks

- Transition depends on institutional uptake
- Might we introduce a 'free rider' issue...?
- Not sure how (if) offerings will affect submissions and publications
- This is a PILOT... sustainability...? Evolution of pricing in this model...?
- Workflows + sales agreements need re-doing; resource intensive



- **New reporting step to feed back on publishing activity**

What's next; what needs to change?



1. Need to evolve pilots into long-term sustainable offerings
2. Lack of universally adopted persistent identifiers for institutions
3. Measuring value in these deals needs new types of reporting... Currently there is no cost-effective, independent, universal reporting mechanism (or standard)
4. In the future, a **NEW** approach to pricing of a “publish and read” offering...?
 - Co-developed - in partnership with institutions
 - Based on a revised set of metrics



OR:
R+P could be a stepping stone to the S2O model

Thank you for listening :-)

Malavika Legge

**Portland Press / Biochemical Society
@PPPublishing @BiochemSoc**

**Society Publishers' Coalition
@SocPubC**

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**BIOCHEMICAL
SOCIETY**



**PORTLAND
PRESS**

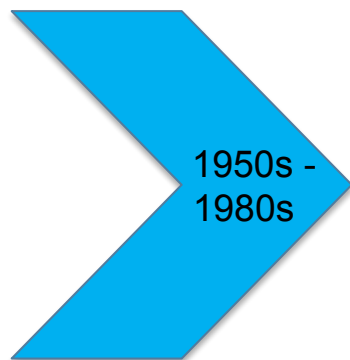
ACM OPEN

“Read + Publish” Transformative Model

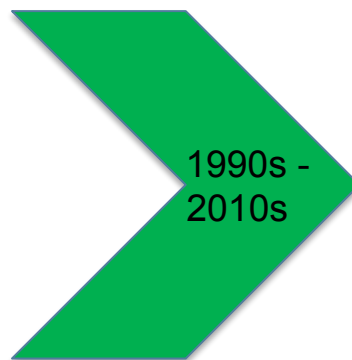
Scott Delman

The ACM is the world's leading publisher of scientific and technical information and conference organizer in the field of Computing

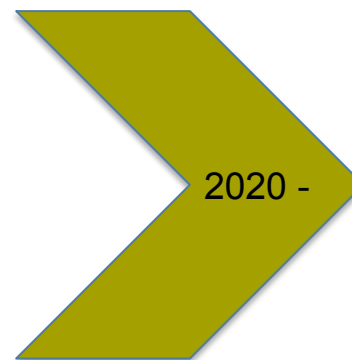
Publication Models for ACM



Selling Individual
Subscriptions



The Big Deal
for Institutions



Open Access
Read + Publish

ACM Open Access Initiatives

- Authorizer
- CHORUS
- OpenSurround for Conferences
- OpenTOC for Conferences
- Hybrid OA for all ACM Publications
- Gold OA Journals
- **Open Access Read + Publish Agreements**

Vision

- A Model to Sustainably Transition ACM Publications to Open Access Over the Next 5-10 Years
- A Model that has potential to scale to make 80% of what ACM publishes OA in the DL each year
- Funded by Institutions – initially libraries, but eventually from research grant overhead fees managed by universities
- Addresses major challenge and risk for ACM Publications – re-balances economics of ACM Publications back to the most engaged institutions that Publish + Read vast majority of ACM Publications (80%)
- OA publication fits ACM's mission to accelerate the pace of innovation (greater usage, citations, etc.), so a sustainable model for transitioning ACM's Publication Program is highly desirable

Institutional Funding Model for OA

- Goal is for all “Peer Reviewed Research Articles” published by ACM to be OA in the DL (~80% of all articles published annually by ACM)
- Current “Big Deal” model is based primarily on annual license agreements with institutions paying to download and read articles published in the ACM Digital Library.
- Basic model transitions current “paid access” model for ACM Digital Library to a hybrid model based on “publication” and “access” over a period of roughly 5-10 years
- The timeline for the transition will depend largely on ACM’s institutional partners...
- New “Publish + Read” model is based primarily on research intensive institutions paying a single annual fee that enables all affiliated corresponding authors to publish with ACM on an Open Access basis with access to complete ACM Digital Library included in annual fee
- Initial Funding to come from University libraries, but model will only work long term when libraries are able to tap into “research grants” at the university level.

Institutional Collaboration

- Started engaging with California Digital Library (CDL) leadership in March 2018 to develop a sustainable model for Open Access publication with ACM
- Group expanded over the next 6 months to include MIT, Carnegie Mellon University, University of Minnesota, and Iowa State University
- All day in person meeting in April 2019 with representatives from all institutions listed above at MIT
- Group came to tentative agreement on new OA Model that was presented to BWG on April 30, 2019
- Continued tweaking Model, addressing concerns, adding detail, etc.

Sustainability is the Core of ACM's R+P Model

Top # Inst. By Article Output 2018	# of Articles (cumulative)	% of Total Articles 2018	"Publish" Spend (cumulative)	"Read" Spend	% of Total "Read" Spend (~\$20M)
Top 100	6,031	31%	\$5,619,600	\$1,096,197	5%
Top 250	9,717	49%	\$8,982,200	\$2,277,839	11%
Top 500	12,850	65%	\$11,758,900	\$3,627,671	18%
Top 1,000	15,736	80%	\$14,250,100	\$6,367,983	32%
Top 2,700	19,700	100%	\$20,000,000	\$20,000,000	100%

Pre-Flip Model

Tiers Level	Article Output Range	Tier Pricing (\$)	# Institutions	Tier Revenue (\$)	Cumulative Revenue (\$)
1	75+	\$100,000	11	\$1,100,000	\$1,100,000
2	60-74	\$75,000	15	\$1,125,000	\$2,225,000
3	40-59	\$60,000	38	\$2,280,000	\$4,505,000
4	30-39	\$45,000	45	\$2,025,000	\$6,530,000
5	20-29	\$35,000	87	\$3,045,000	\$9,575,000
6	16-19	\$25,000	54	\$1,350,000	\$10,925,000
7	12-15	\$17,500	100	\$1,750,000	\$12,675,000
8	8-11	\$12,500	174	\$2,175,000	\$14,850,000
9	4-7	\$10,000	450	\$4,500,000	\$19,350,000
10	0-3	\$8,000*	3246	\$25,968,000	\$45,318,000
	19,700 Total in 2018	Totals	4220	\$45,318,000	

* All Tier 10 institutions paying above \$8,000 will be reduced to \$8,000 as part of consortium deals which include Top Tier Level participants. All Tier 10 institutions paying below \$8,000 will remain at current level with 0% increase during term of Agreements

Post-Flip Model

Tiers Level	Article Output Range	Tier Pricing (\$)	# Institutions	Tier Revenue (\$)	Cumulative Revenue (\$)
1	75+	\$100,000	11	\$1,100,000	\$1,100,000
2	60-74	\$75,000	15	\$1,125,000	\$2,225,000
3	40-59	\$60,000	38	\$2,280,000	\$4,505,000
4	30-39	\$45,000	45	\$2,025,000	\$6,530,000
5	20-29	\$35,000	87	\$3,045,000	\$9,575,000
6	16-19	\$25,000	54	\$1,350,000	\$10,925,000
7	12-15	\$17,500	100	\$1,750,000	\$12,675,000
8	8-11	\$12,500	174	\$2,175,000	\$14,850,000
9	4-7	\$10,000	450	\$4,500,000	\$19,350,000
10	0-3	\$2,500*	3246	\$8,115,000	\$27,465,000
	19,700 Total in 2018	Totals	4220	\$27,465,000	

* All Tier 10 institutions will gradually be reduced to ~\$2,500 level as certain OA thresholds are met, starting at 20% of total newly published "APC eligible" articles are published OA in the DL. See separate slide that shows "ramp down".

Tier 10 Pricing Ramp Down

% Peer Reviewed Articles Opened in DL (Annually)	Tier 10 Pricing (\$)
20%	\$7,000
30%	\$6,000
40%	\$5,000
50%	\$4,000
65%	\$2,500
80%	\$2,500* (full-flip reached)

* Upon "full-flip", all future published articles in DL published OA, all remaining institutions must do "R+P" deals...no longer just access only, and authors from institutions that do not participate in the Tiered OA Model will be required to pay APC to publish with ACM on OA basis.

Non-Financial Considerations & Terms

- ACM must be committed to transitioning “Peer Reviewed” research publications 100% over time
- Institutions paying for OA access want authors to retain copyright and use CC-BY licenses
- Institutions want model and pricing to be completely transparent and visible to public
- Only corresponding authors’ affiliated with an institution are counted towards institution’s average 3 year Output Range
- Tiering based on average of 3 most recent full-year publication output history
- ACM needs to be transparent about how surpluses in early years will be spent by ACM:
 - Surpluses should support good works programs, such as diversity & inclusion programs, education programs, needs-based waivers for developing countries, acceleration of OA publication program, support for arXiv, etc.
- Deals should include Value-Added Services, such as “Automatic Deposits” into IRs and other services to be agreed
- Historical archive of ~500,000 full-text articles would remain behind paywall as incentive for “long tail” to continue paying for access over long term

Get in touch!

For more information about ACM Open or other ACM Open Access initiatives, please visit:

<https://www.acm.org/publications/openaccess#acmopen>

Or Contact Scott Delman, ACM Director of Publications at:

<scott.delman@hq.acm.org>

Accelerating the transition to open access

Working with society and smaller publishers



Process for Jisc 2020 pilots

Reach out to publishers

Share information on model agreements

Identify those keen to move quickly

Develop a model

Consult with librarians

Feedback to funders

Agree a final model to pilot

Library feedback

Librarians don't feel ready for plan S either

Librarians like green open access

Concern about the scalability of 'read and publish' agreements

Concern about use of block grants for TAs

Concern about 'APCs in the wild'

BUT

Supportive of working with society publishers

Working with Funders

UKRI

- carrying out an Open Access Review
- New policy not due until March 2020

Wellcome Trust

- Website now updated to state support for TAs with up front fees
- Detailed guidance due for publication January

Criteria for success

For librarians

Value for money, low admin, compliance with funder mandates

For Publishers

High subscriber uptake, increased market share, reduced admin

For Funders

Increased OA, decrease in cost per article

For Jisc

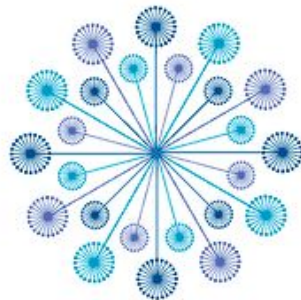
All stakeholders happy!

TSP^{OA}



TRANSITIONING
SOCIETY PUBLICATIONS
TO ^{OA}

<https://tspoa.org/>



Society
Publishers'
Coalition

<https://socpc.org/>

CONTACT US!