Project Update
13 June 2019

Society Publishers Accelerating
Open access and Plan S
(SPA-OPS)

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Society Publishers Accelerating Open access and Plan S (SPA-OPS)

- Funded by Wellcome Trust, UKRI and in partnership with ALPSP

- Interviews: Society Publishers, Publishers, Consortia, Funders

- Published discussion document

- Survey of Society Publishers

- Survey of library consortia

- Workshops

Towards transition strategies and business models for Society Publishers who wish to accelerate Open Access and Plan S
An initial discussion document from the Society Publishers Accelerating Open access and Plan S (SPA-OPS) project

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1. Introduction

The SPA-OPS project was commissioned by Wellcome, UKRI, and the Association of Learned and Professional Society Publishers (ALPSP) to support learned society publishers successfully transition to open access (OA) and align with Plan S. Information Power Ltd was selected to undertake this work at the end of January 2019.

This project will, we hope, be useful to a broad array of learned society publishers around the world. The focus of this work, however, is on learned society publishers serving UK researchers and in disciplines relevant to UKRI and Wellcome funding areas. We are aware of related initiatives in other parts of the world and aim to share information with and to learn from these.

Wellcome and UKRI – and indeed other funders – recognise the value learned societies play in supporting researchers and contributing to a vibrant research ecosystem. They wish to explore a range of potential strategies and business models through which learned societies could adapt and thrive under Plan S.

The SPA-OPS project is structured in the following way:

1. A short background study to identify the key issues learned societies face in the light of Plan S

2. A discussion document which assesses options for how learned society publishers could transition to OA and develop Plan S-compliant business models

26 responses from library consortia

Around the world

- Austria
- Canada
- Germany
- Greece
- Jordon
- Norway
- Qatar
- Slovakia
- Republic of Korea
- Romania
- Slovakia
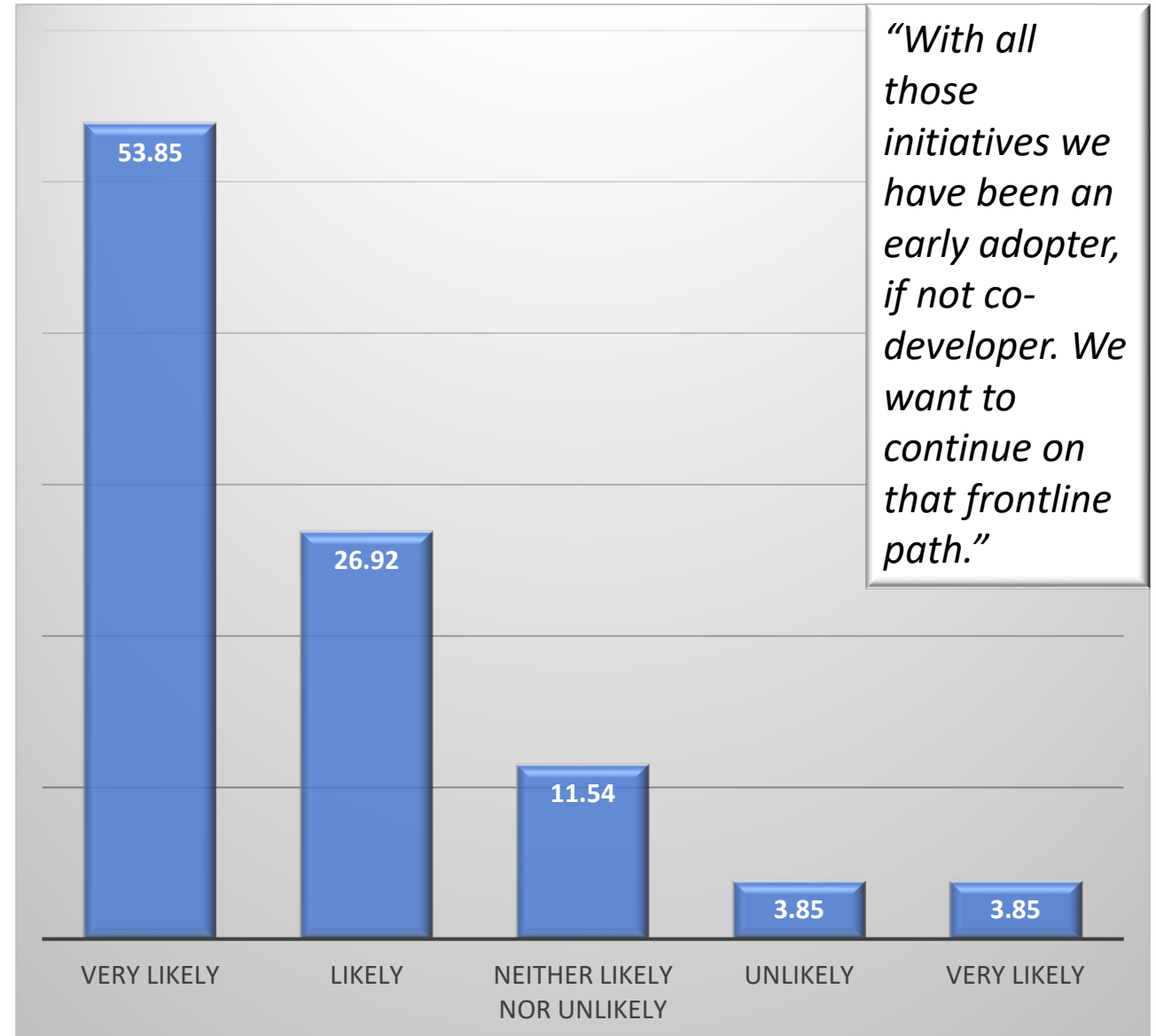- United States
- United Kingdom

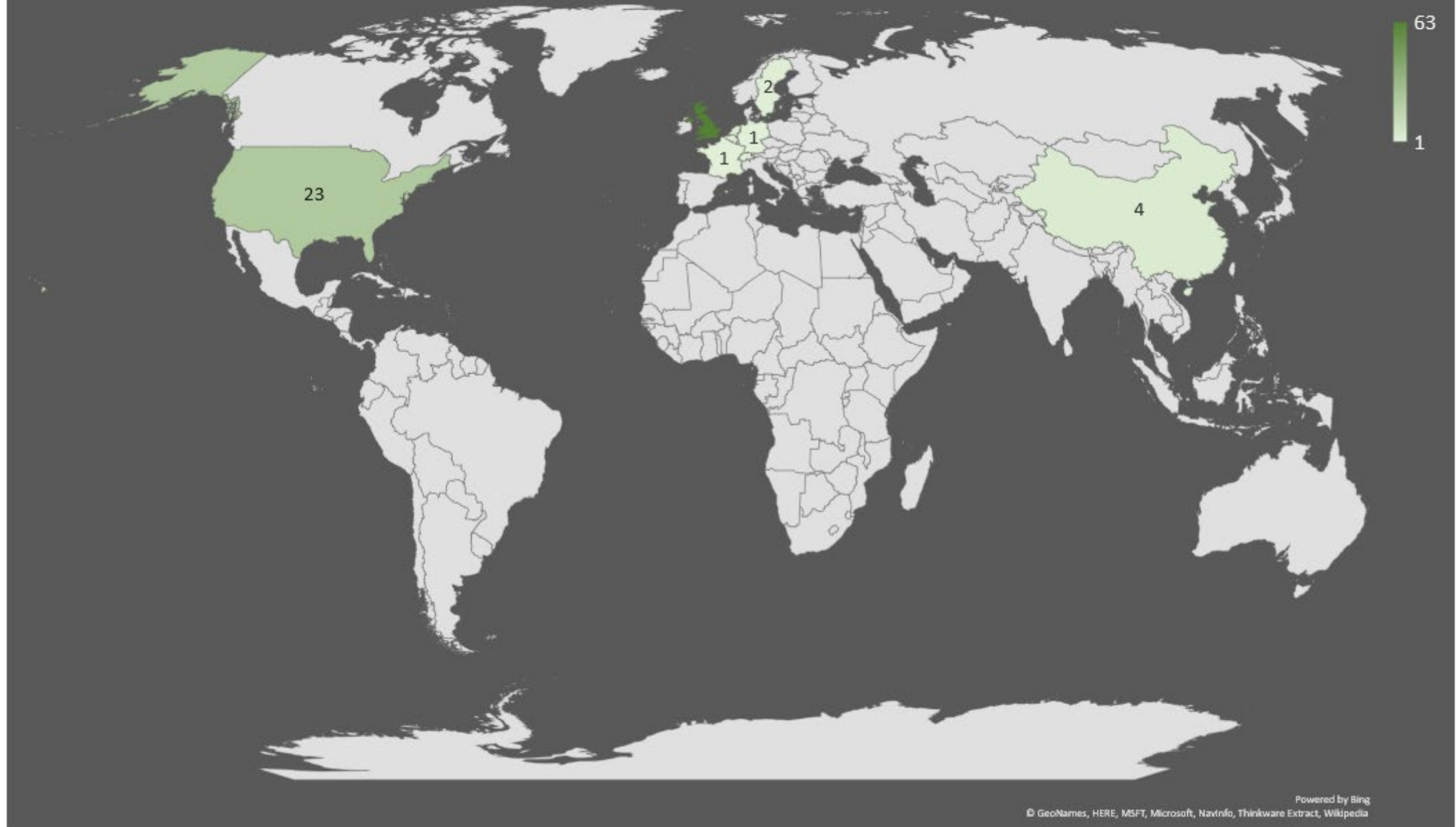# We asked about their willingness to work with Learned Society Publishers

91% Agree or Strongly Agree that they look forward to working with Learned Society Publishers to develop new models

"Consider this as an opportunity to strengthen networks across and among libraries and scholars with the Learned Society publishers. Build the new models TOGETHER!"

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Would you participate in new initiatives that redirect funds currently used to pay subscriptions to make journals open access to users all over the world?
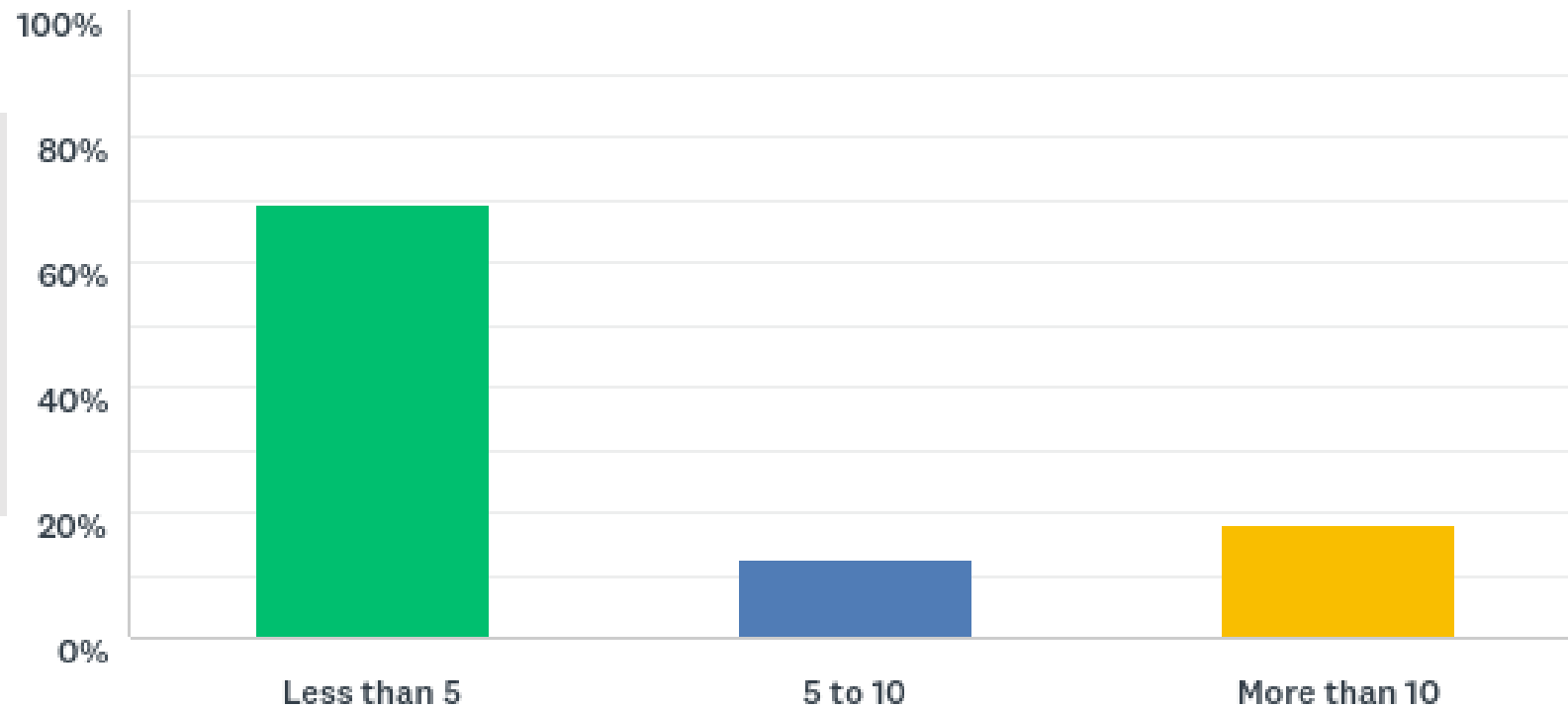

"With all those initiatives we have been an early adopter, if not co-developer. We want to continue on that frontline path."

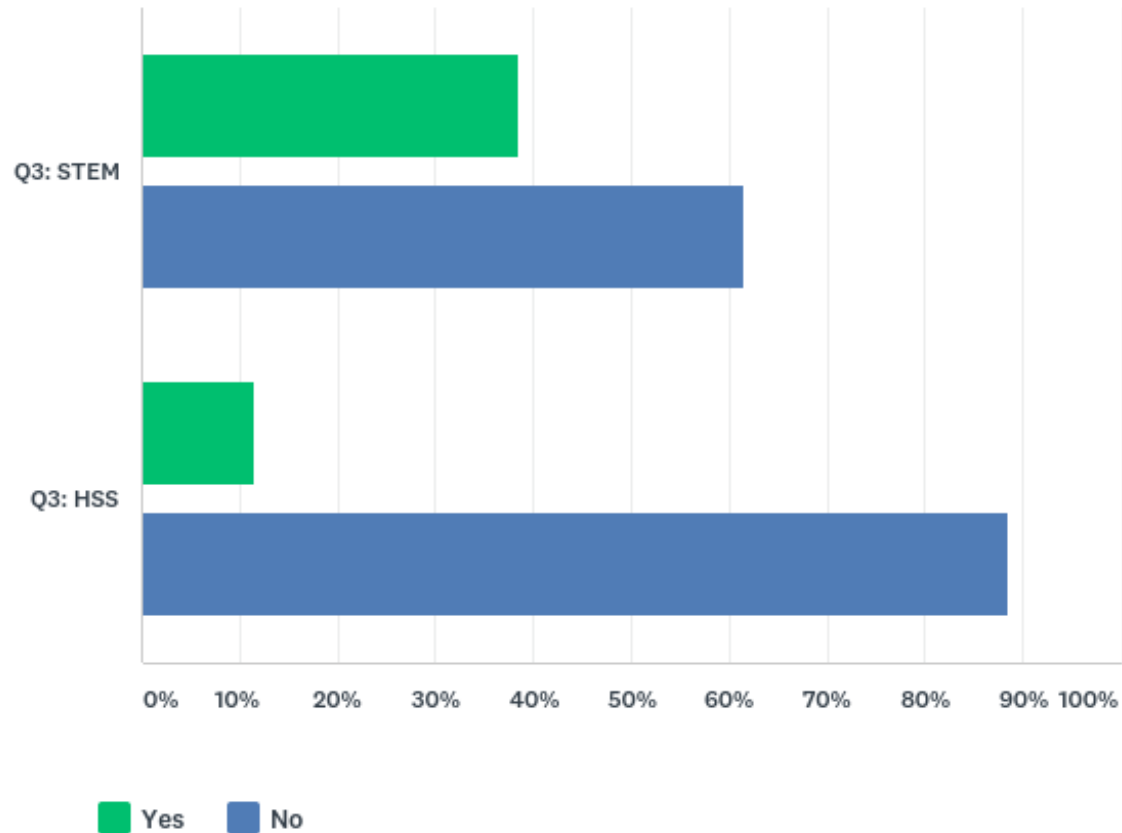| Category	Value
VERY LIKELY	53.85
LIKELY	26.92
NEITHER LIKELY NOR UNLIKELY	11.54
UNLIKELY	3.85
VERY LIKELY	3.85

Societies who responded were based in
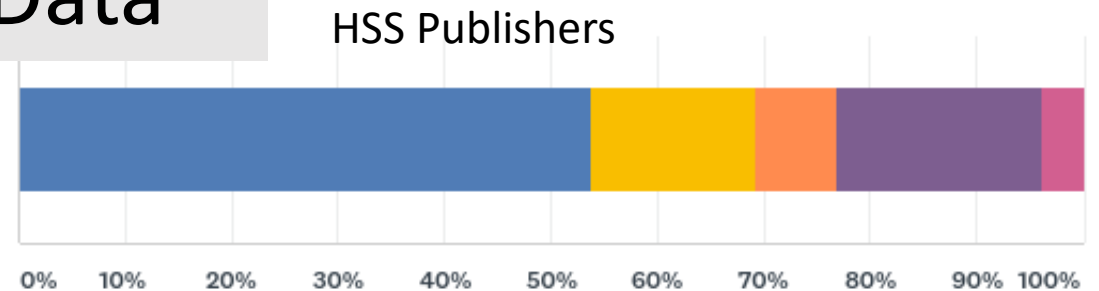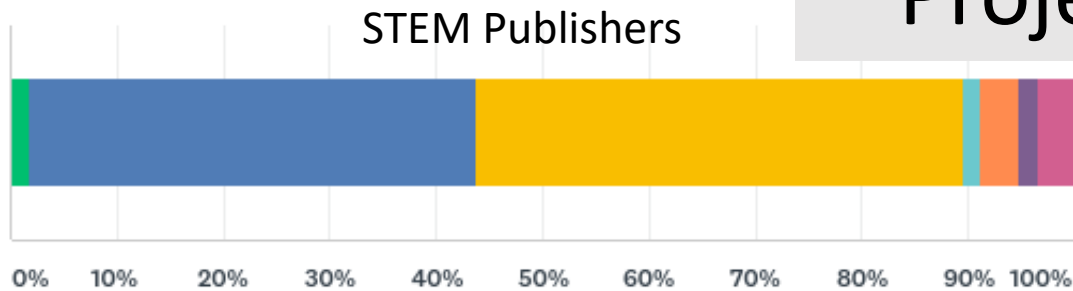
How many titles do you publish?

Preliminary Project Data

STEM vs HSS: Do you self-publish

Preliminary Project Data

About the transition status of your journals

Preliminary
Project Data

STEM Publishers

HSS Publishers

Legend:
- All of our journals are fully OA.
- All of our journals are hybrid OA.
- All of our journals are fully OA or hybrid OA.
- Most of our journals are fully OA or hybrid OA.
- Some of our journals are fully OA or hybrid OA.
- None of our journals are OA or hybrid OA.
- Not sure.

A small difference in transition status for STEM and HSS publishers, but less than we had anticipated

The models

- Transformative Models
- Cooperative Infrastructure & Funding Models
- Evolving Subscription Models
- Article Transaction Models
- Open platforms
- Other Revenue Models
- Strategies for Change and Cost Reduction

Article Transaction Models

	Extremely interested	Very interested	Somewhat interested	Not interested	Don't know
APC-funded OA	19	17	26	24	1
Institutional prepay model	12	27	31	12	6
Submission Payments	4	9	23	47	4

"We appreciate that the model for 'submission payments' acknowledges that publishers incur costs beyond those associated with accepted articles. However, this system would not be accessible to a range of researchers who do not have access to funds for article transactions and would result in administrative burden."

"We are concerned about these models being inequitable, and the risk of a drop in submissions."

"Clear guidance on the APC cap sought by cOAlition S, and on the extent to which the funds to meet these APCs will be provided by funders and institutions, will assist in planning around the feasibility of article transaction models."

"Institutional prepay - is interesting, but there is risk of volitility. The number of submissions from a given institution can change dramatically year-on-year depending on researchers work output. Whereas a subscription model is steady and predictable."

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Evolving Subscription Models: a peer reviewed version of the full text is openly available under a CC-BY license at the time of publication

Preliminary Project Data

	Extremely Interested	Very interested	Somewhat interested	Not interested	Don't know
Author self-archiving or access via platform	20.45%	22.73%	37.50%	14.77%	4.55%

"We would estimate the effect to be limited towards subscription decline, but you can not predict the consequences of large scale green OA. This could be a short term solution to achieve PlanS compliance, but this would not help discoverability and actual openness."

"We are interested in the zero-month embargo model and we would like to understand better how this model might impact on the long term sustainability of publishing in different disciplines, particularly in the arts, humanities, and the social sciences where the article half-life tends to be longer. However, this is a challenging model to pilot because it would be very difficult to reverse a decision to offer a zero-month embargo."

"We would need libraries to commit to maintaining subscription licences. At present, Plan S states in its preamble that it intends to end subscriptions altogether. That is incompatible with author self-archiving since the journal publishers need to receive the subscription income to cover the costs of running the journal. Agreeing to allow self-archiving when funders are actively encouraging libraries to cancel subscriptions would be risky in the extreme. "

Transformative Agreements: repurpose existing spend to open content

information power

- **Choreographed shift models**

  These are initiatives that redirect funds currently used to pay subscriptions to make journals open access to users all over the world. Two examples are Knowledge Unlatched and SCOAP[3].

- **Read & Publish models**

  The amount of money currently paid to the publisher (for subscriptions and sometimes also for APCs where there has been additional funding for OA publishing) is guaranteed, and in exchange authors can publish OA without paying an additional APC.

- **Publish and Read models**

  With PAR a consortium pays a pre-agreed amount for papers published by affiliated authors, and everyone in the library/consortium gets access to the subscription content for no extra cost.
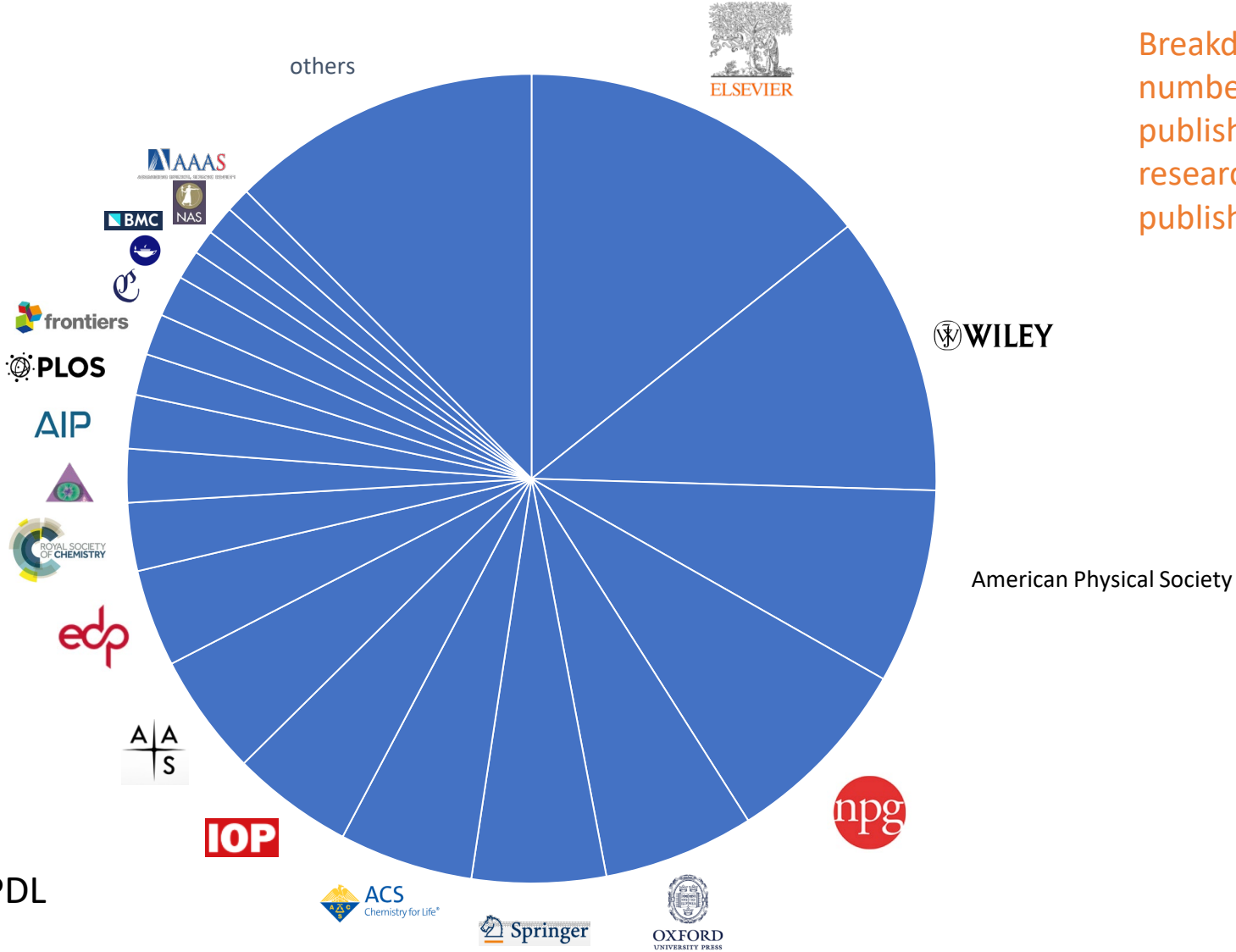
- **California Digital Library pilot transformative agreement**

  This model engages authors as well as libraries. The library/consortium contributes money in the form of a direct payment to the publisher in order to lower/subsidise transactional publishing payments by authors who can afford to contribute something toward the cost. This approach is designed to reflect the fact that researchers in the US can use their grants to pay for publication costs if they choose to do so but are usually under no obligation or mandate to do so.

- **Subscribe to Open**

  This approach has been developed by the publishing team at non-profit publisher Annual Reviews. It is designed to motivate collective action by libraries who are asked to continue to subscribe even though the content will be published OA. A 5% discount off the regular subscription price is offered to existing customers. If all current customers continue to subscribe, then that year's content is made available OA and all the backfiles are also made available OA. None of this content is opened if the number of subscribers decline, which discourages free riding.
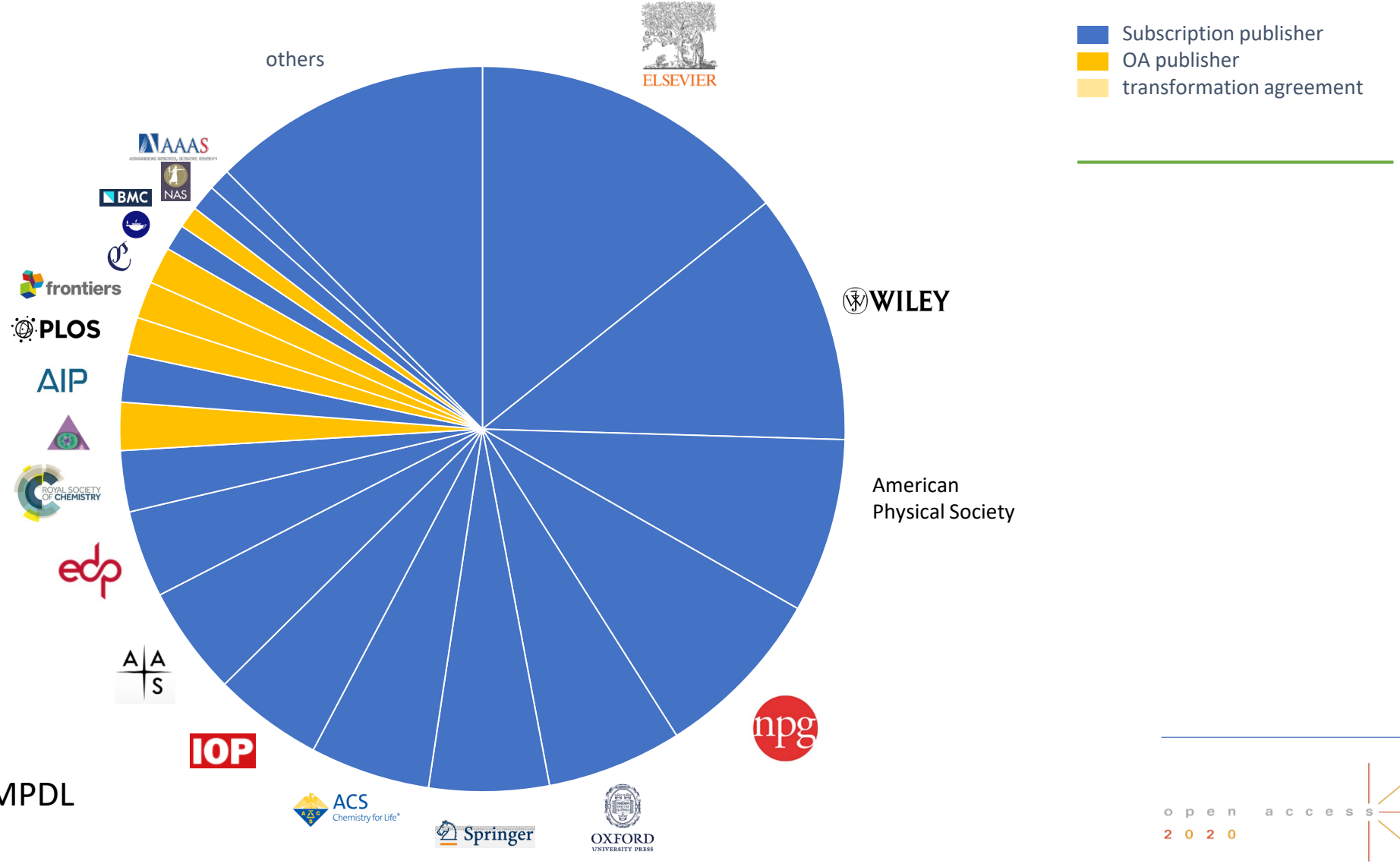
Publishing output of the Max Planck Institutes

Breakdown of the number of articles published by our researchers, by publisher

ELSEVIER

WILEY

American Physical Society

npg

others

AAAS

NAS

BMC

frontiers

PLOS

AIP

ROYAL SOCIETY OF CHEMISTRY

edp

AAS

IOP

ACS Chemistry for Life®

Springer

OXFORD UNIVERSITY PRESS
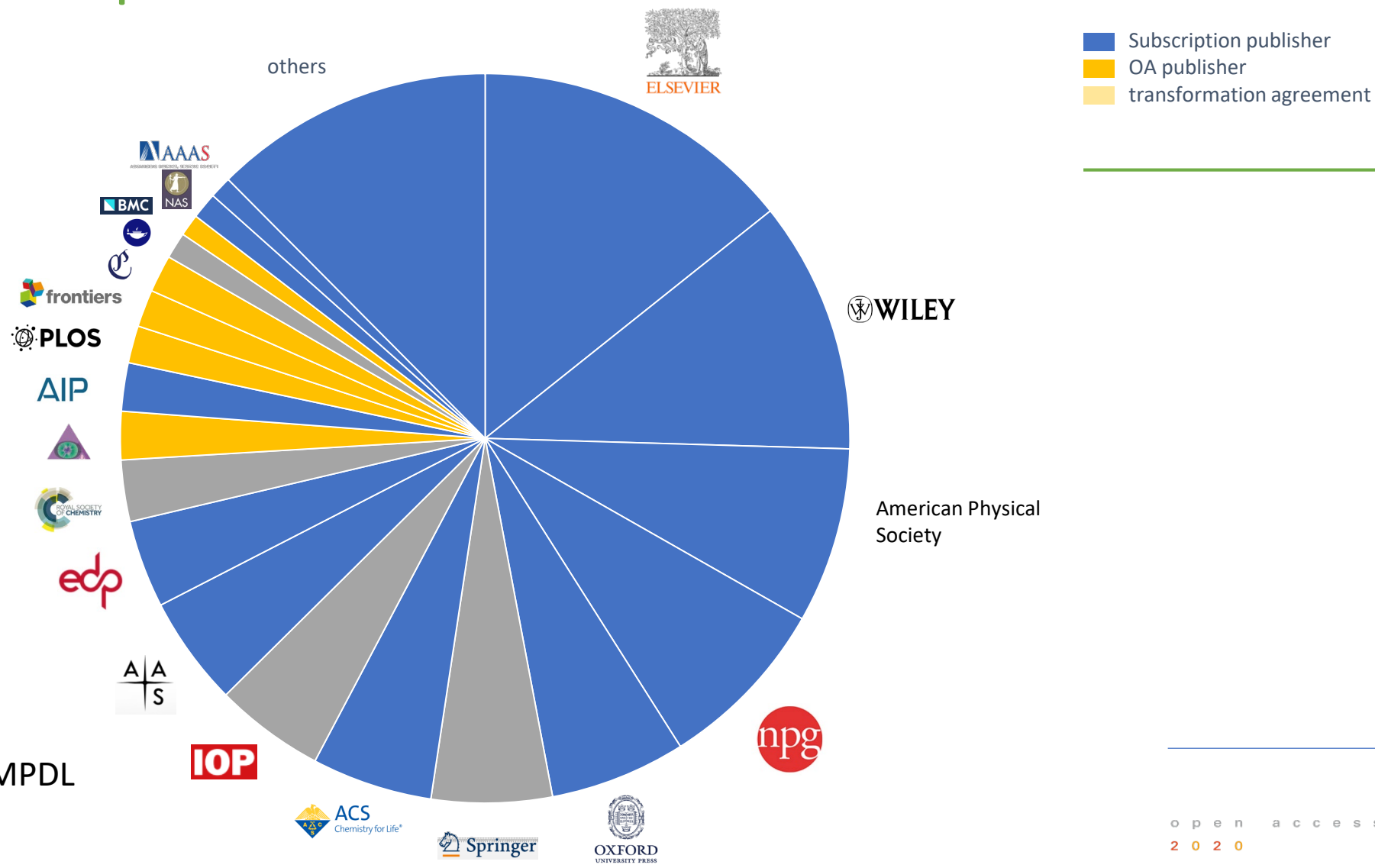
Slide courtesy of MPDL

Five of the Max Planck Institute's top 20 publishers are fully OA

Slide courtesy of MPDL

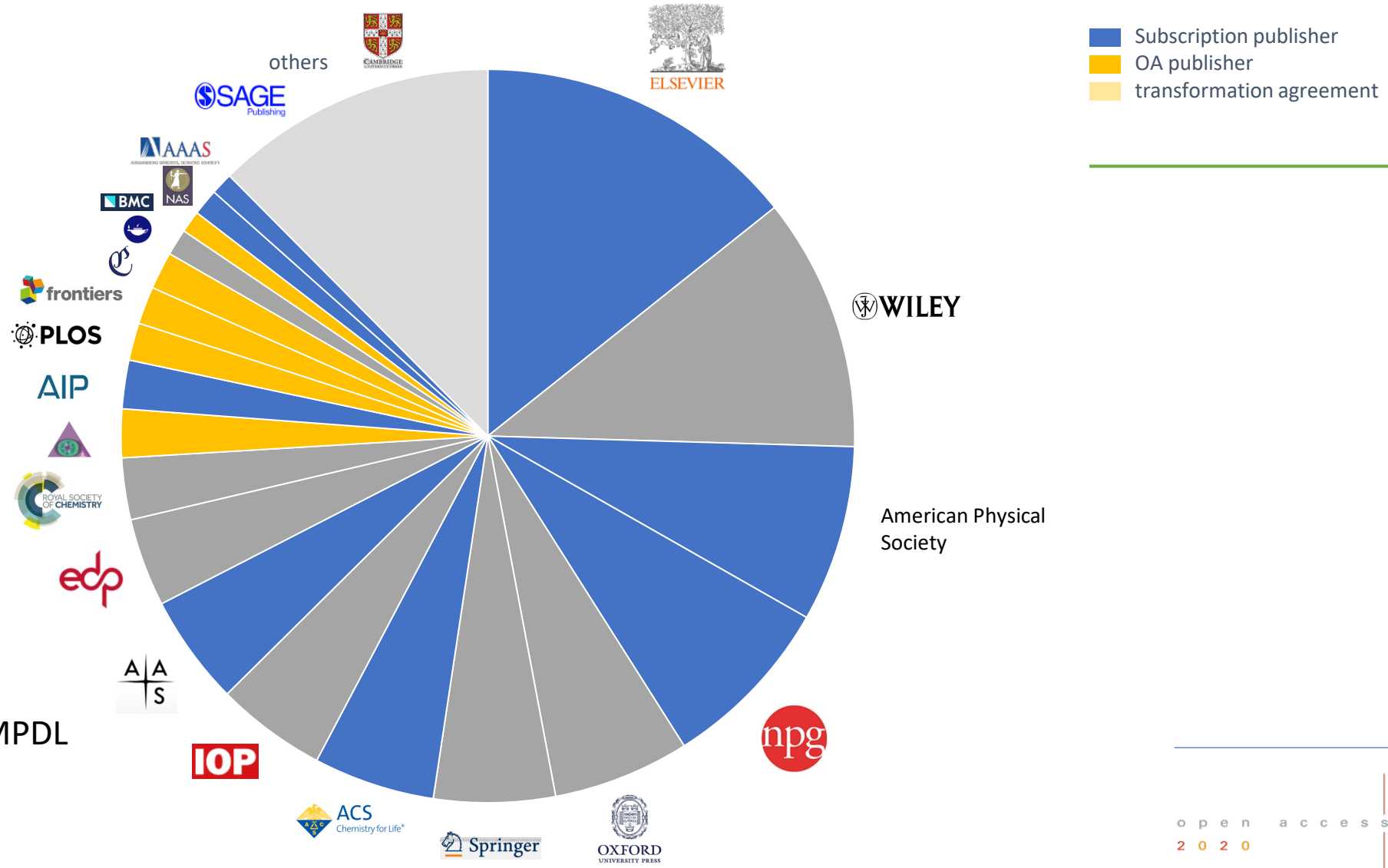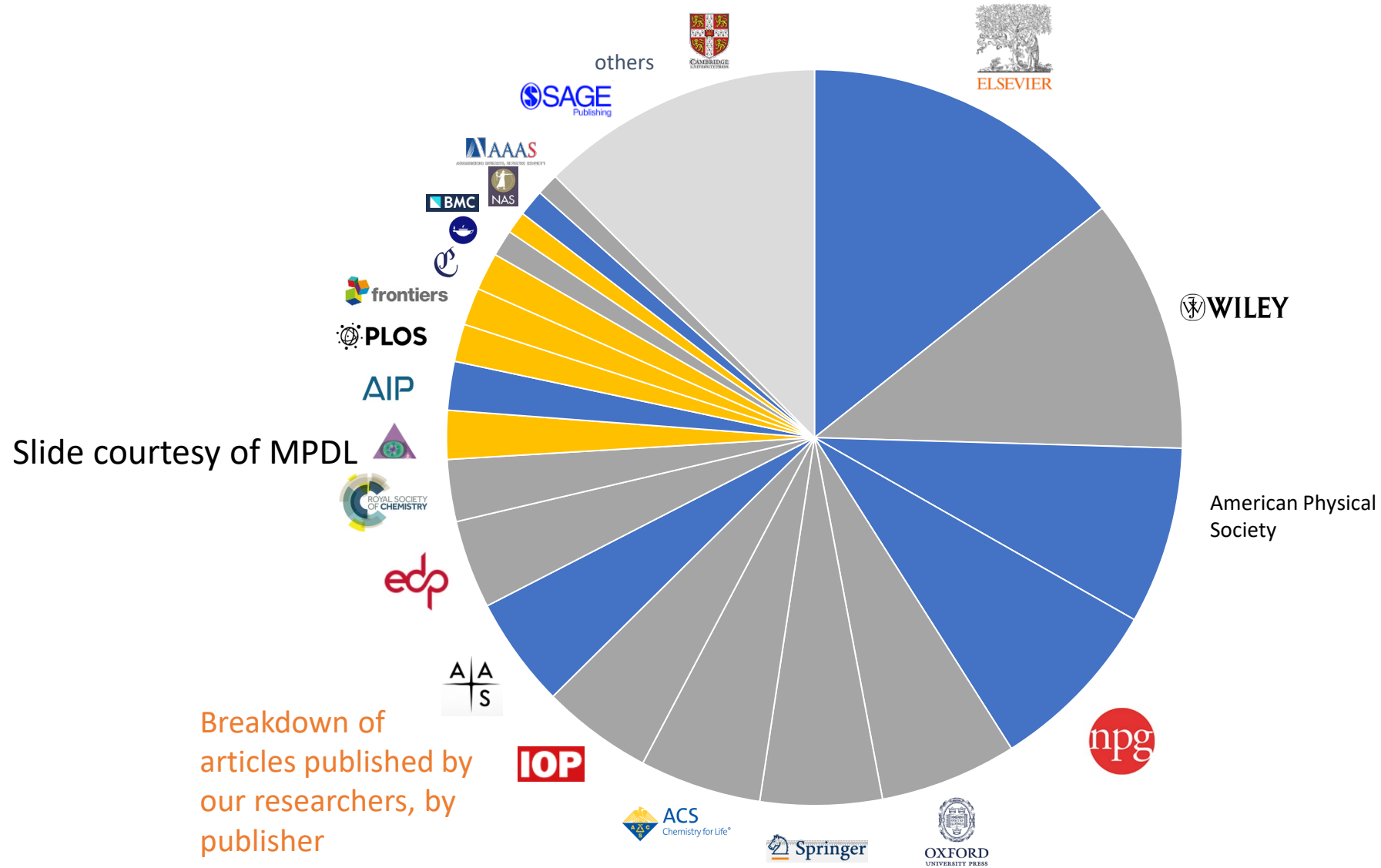# As of 2017 the Max Planck Institute had four transformative agreements in place

Legend:
- Subscription publisher
- OA publisher
- transformation agreement

Slide courtesy of MPDL

By the start of 2019 the number of transformative agreements had grown

Legend:
- Subscription publisher
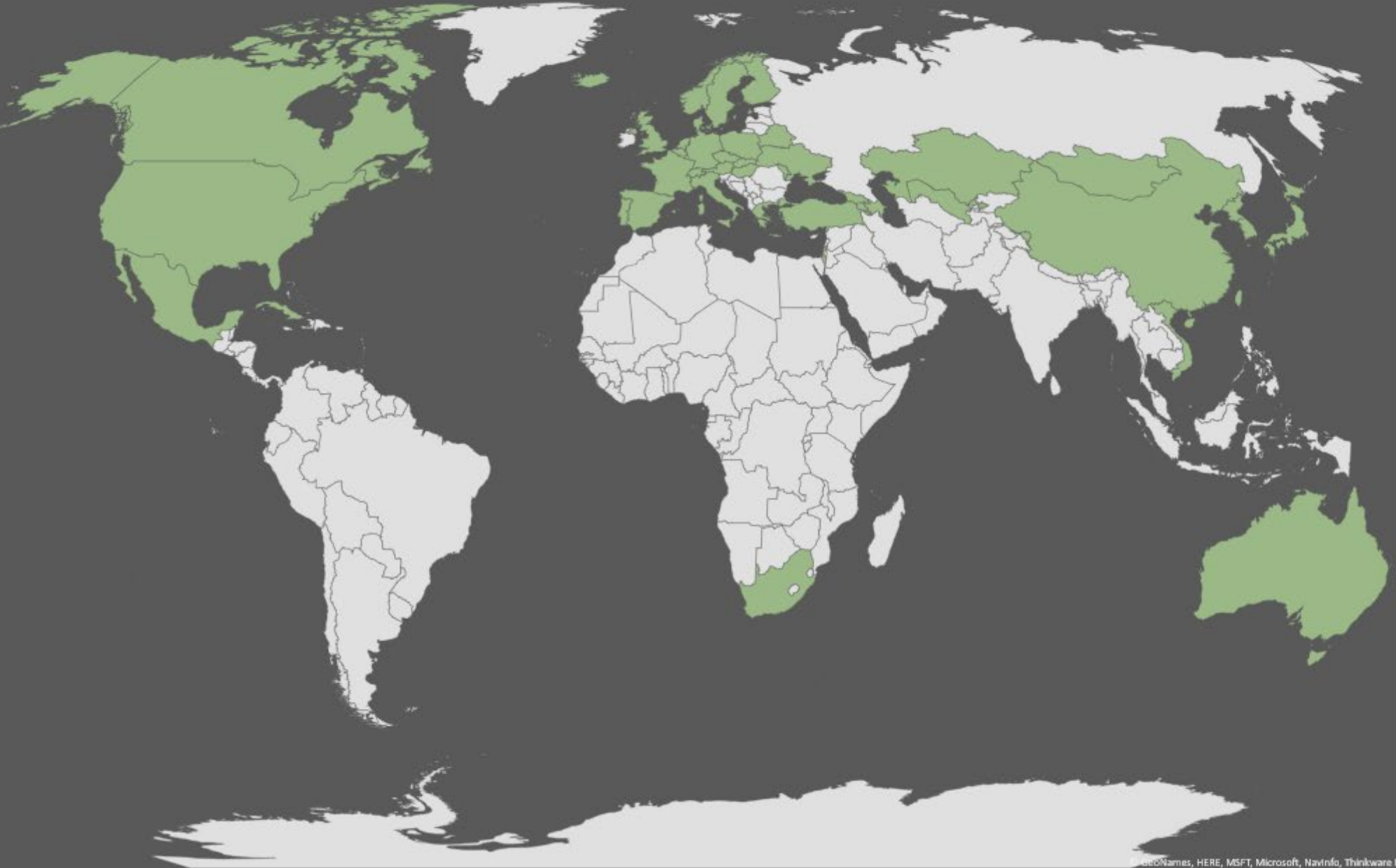- OA publisher
- transformation agreement

Slide courtesy of MPDL

open access
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Transformative agreements in place for 2020

Slide courtesy of MPDL

Breakdown of articles published by our researchers, by publisher

Legend:
- Subscription publisher
- OA publisher
- transformation agreement

- By negotiating transformative agreements with the 20 publishers with whom our authors publish most, we can rapidly achieve a shift of our investment from subscription to open access.

- As others replicate this strategy, a global transition becomes immediately vaiable

open access 2020

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Countries with at least 1 transformative agreement – June 2019

Next steps

- Projects
  1. Transformative agreement toolkit
  2. Quantifying unfunded researchers
- Final report
- Launch at the ALPSP International Conference 2019

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