Initiatives for the Large-Scale Transition to Open Access

Dr. Ralf Schimmer, Max Planck Digital Library
Context and approach of this presentation

Rich context

- MPDL OA Transformation White Paper (04/2015)
- Launch of OA2020.org (03/2016)
- Amsterdam Call for Action on Open Science (04/2016)
- EU Council Conclusions on the transition to an open science system (05/2016)
- Mushrooming of offset agreements on the practical side
- And many others...

Approach

- The goal is not to explain the details of any particular approach but to reflect on what is currently going on, hence to provide a broad picture of the current state of affairs
1. The OA dilemma
Open Access is (exceptionally) strong as a principle
— cf. the many resolutions, policies, guidelines etc.

...but still fairly weak as a practice
— only about 14% OA
— subscription system as prosperous as ever
2. Thinking about a new activation energy
OA has been a story of trying to activate researchers

Through a variety of measures such as advocacy, mandates and support efforts the researchers should be moved to OA
How about a new activation energy?

OA shall be brought to the researchers by means of switching the business model of the existing corpus of journals.
Bringing OA to the natural habitat of researchers

Not the researchers shall change but the publishing system, and in particular the underlying business model.
3. Moving beyond the dilemma
Getting out of the dilemma

Open Access on a large scale can only be accomplished if and as soon as we change the business model of the dominant subscription system.
4. What is this transformation about?
### Global level view

The global scholarly journal market and its financial dimensions

#### Scenario of transformation based on current global operating numbers per year

<table>
<thead>
<tr>
<th>Market today (subscription)</th>
<th>Market transformed (Open Access)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total budget 7.6 bn €</td>
<td>2 M scholarly articles 2,000 €/article</td>
</tr>
<tr>
<td>1.5 M scholarly articles in WoS; up to ~2 M overall</td>
<td>based on realistic APC expectations¹) available for new &amp; improved services, remaining subscriptions etc.</td>
</tr>
<tr>
<td>5,000 €/article WoS; 3,800 €/article overall</td>
<td></td>
</tr>
</tbody>
</table>

¹) The empirical values of SCOAP3 are ~1,100 €/article; for MPG and for DFG funded universities in Germany they are ~1,250 €/article

---

**An OA transformation seems to be possible without financial risks**
Global level view

Transformation means re-allocation of budgets and conversion of journals and processes

Global subscription journal budget
7.6 bn EUR p.a.
(≥3,800 EUR/article)

2.8 bn EUR buffer for new & improved services etc.
(without remaining subscriptions)

Global open access journal base budget
4 bn EUR p.a.
(2,000 €/article)

Assuming 90% conversion
New grip on data needed

**Publishing data**

- including corresponding author shares
- publisher distribution
- on institutional or country level

**APC data**

- continuously growing evidence available
More and more APC evidence available

Open APC
http://treemaps.intact-project.org/apcdata/openapc/

Open APC Offsetting data set
http://treemaps.intact-project.org/apcdata/offsetting/

Universities and research institutions globally are invited to contribute their APC expenditure data to Open APC in order to build up a comprehensive data set that allows for extensive analyses and fosters transparency on the evolving APC market.
5. Enhanced urgency
SciHub – the “Napster moment” for publishing

http://31.184.194.81/
SciHub: Holding a painful lesson for libraries and publishers

Going to SciHub is not only an act of necessity! It is an expression of convenience!

Sci-Hub users in the United States seem to congregate near universities and likely have institutional access to the articles they request. This map excludes 27,000 download requests from anonymous U.S. IP addresses.

1. Ashburn, VA
   - Requests: 96,857

2. New York, NY
   - Requests: 73,606

3. East Lansing, MI
   - Requests: 68,135

4. Fremont, CA
   - Requests: 59,389

5. Mountain View, CA
   - Requests: 56,637
Opening the eyes to a deteriorating system

The publishing system as we know it

Publishers & libraries together desperately stabilize a disintegrating anachronistic system that is not needed and wanted anymore in a 21st century environment
Exposing the nakedness of the subscription system

The Emperor's New Clothes, a fairy tale by Hans Christian Andersen, Denmark (1837)

1 https://41.media.tumblr.com/0e1dbf83f053703568913d04a526fcb1/tumblr_inline_o3m3oc2kCO1sxr3js_540.jpg
Isn’t SciHub exposing the nakedness of the ruler just as the little girl did in Andersen’s fairy tale? Can we really do business as usual now that we know this?
6. Read the signs of the times
The landscape is in the process of being restructured

- SciHub shock & its de-legitimation of current system
- Rationale and plan for the large-scale transformation
- Evidence that enough money is already in the system
- Data analyses available for cost modelling
- APC evidence collected and documented
- Political initiatives, e.g. oa2020.org (Eol), EU, LERU…
- Roadmap with practical steps (mainly offsetting)
- Emerging standards in handling APCs (e.g. ESAC)
7. Orderly transition
Orderly transition

The days of the current business as usual will come to an end. But we have a future to win! Libraries can truly open the paths to knowledge (as per LIBER Conference motto)
It is time to re-plug the system

We need to discontinue the subscription system and to find new ways to finance the publishing services that are wanted and needed in the 21st century.