

Estonian Association of Publishers

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# The landscape of Open Access in 2022

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# The road to open access

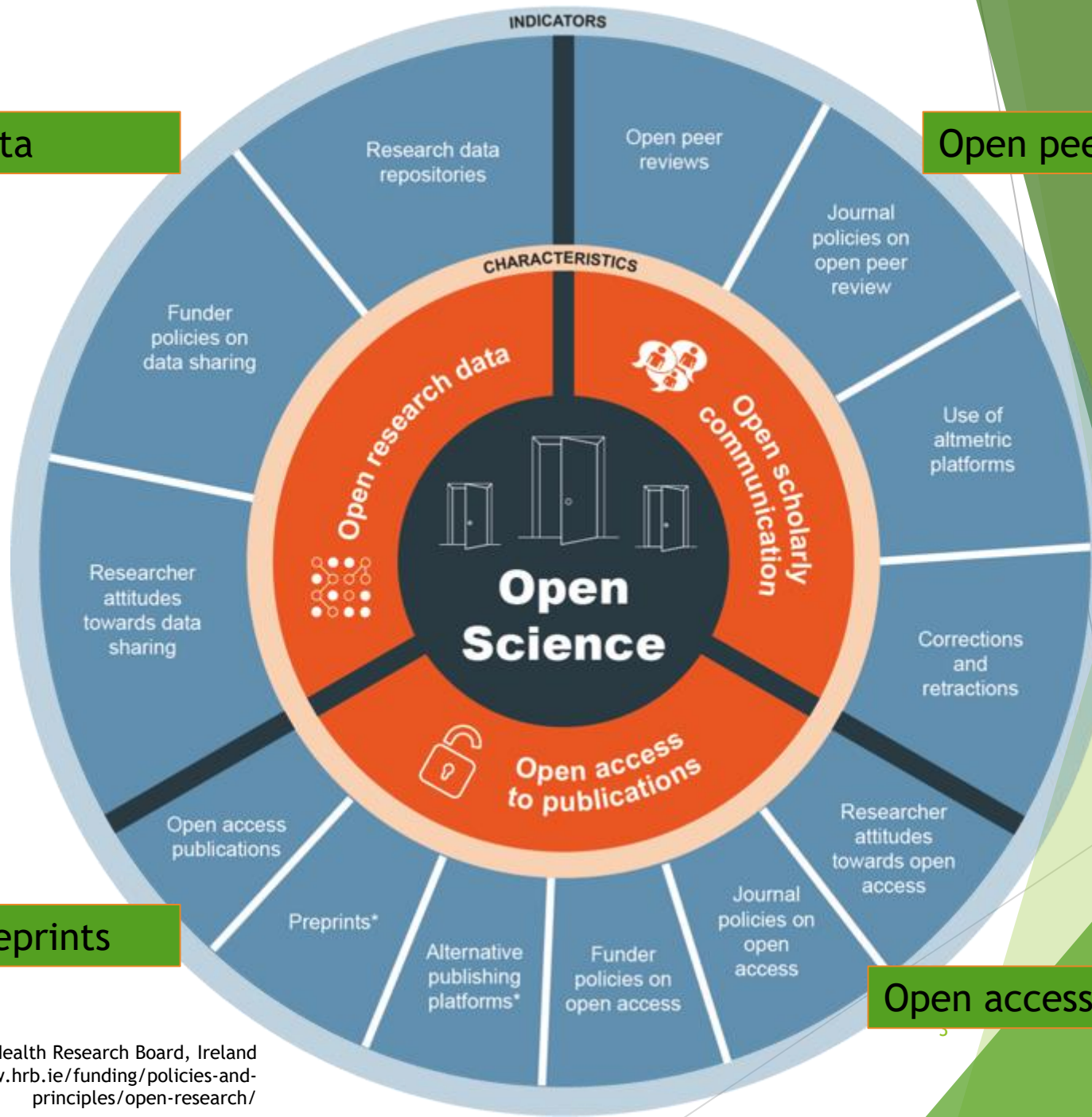


Open data

Open peer review

Open Preprints

Open access publishing







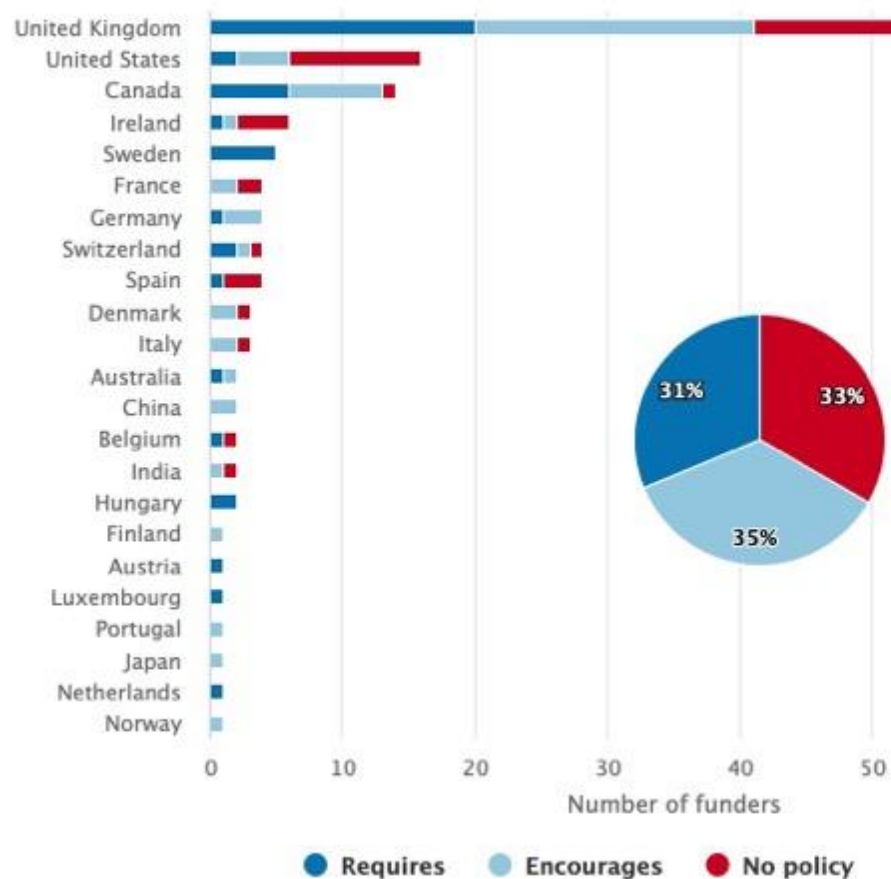
# PRESSURES

Picture by Eva Eljas [pexels.com](https://www.pexels.com)



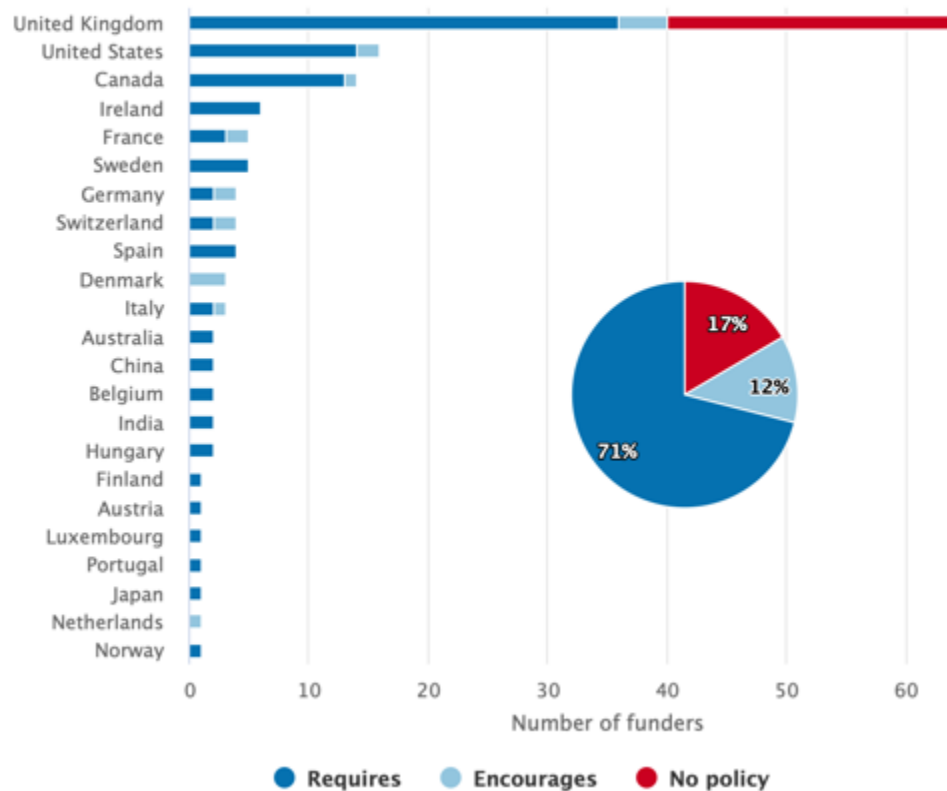
## Number of Funders with policies on open access – publishing, by type of mandate and country

Source: Sherpa-Juliet – Reference date: October 21st, 2019



## Number of Funders with policies on open access – archiving, by type of mandate

Source: Sherpa-Juliet – Reference date: October 21st, 2019



[https://ec.europa.eu/info/research-and-innovation/strategy/strategy-2020-2024/our-digital-future/open-science/open-science-monitor/trends-open-access-publications\\_en#open-access-to-publications](https://ec.europa.eu/info/research-and-innovation/strategy/strategy-2020-2024/our-digital-future/open-science/open-science-monitor/trends-open-access-publications_en#open-access-to-publications)

# % OA?

## 81% of Horizon 2020 papers were published in open access

07 Sep 2021 | News

*European Commission boasts of high level of open access publishing in Horizon 2020. But researchers complain getting processing fees approved is long winded and could result in them losing out on intellectual property rights*

► It depends who you ask

Just over 30% of all scholarly articles are published as paid-for **Open Access**, accounting for just over 7% of the total journal publishing market value.

## The Open Access Race: Springer Nature Announces One Million Articles

In *News* by *Porter Anderson* / December 2, 2021 / *Leave a Comment*

**Citing 16.69 Percent for Springer, 12.94 Percent for Elsevier**

**eua** EUROPEAN  
UNIVERSITY  
ASSOCIATION

## A closer look at Open Access to research publications in European universities

Follow-up to the 2020-21 EUA Open Science survey

Rita Morais, Stéphane Berghman  
January 2022

EU universities  
have OA targets of  
50-90%

# cOAlition S

**“With effect from 2021, all scholarly publications on the results from research funded by public or private grants provided by national, regional and international research councils and funding bodies, must be published in Open Access Journals, on Open Access Platforms, or made immediately available through Open Access Repositories without embargo.”**



# Plan S compliant journals

- ▶ Fully OA journals
  - ▶ Under CC BY licence
  - ▶ Indexed in Directory of OA Journals
  - ▶ Various technical requirements
- ▶ Other journals that allow “green OA”
  - ▶ Posting of accepted version in repository
  - ▶ Under CC BY licence
  - ▶ At point of publication



# Plan S Journal checker tool

<https://journalcheckertool.org>

 JOURNAL CHECKER TOOL

BETA

Is this compliant with  
Plan S?

JOURNAL

By ISSN or title

+

MY FUNDER

By funder name

+

MY INSTITUTION

By ROR or name

☐ No affiliation

# The mouse pushing the elephant?

## ► Percentage articles

- Plan S: 5.2% papers (from <1% global R&D)
- UKRI: 1.3%
- US Office of Science and Technology Policy (OSTP): 13.4%

Source: DeltaThink, 2021 from Clarivate (Web of Science)



**Who pays?**



# Follow the money ...

- ▶ Who pays? Consumers (libraries)
  - ▶ Disadvantages
    - ▶ Resource-poor institutes (can't access/read)
    - ▶ Small number of commercial powerhouses
    - ▶ Increase in output not balanced by increase in library budgets
    - ▶ Over-emphasis on “western” research
    - ▶ “wasted” research funds - not published
    - ▶ Disconnect between consumers (readers) and purchasers (libraries)
  - ▶ Advantages
    - ▶ Spreads the payments
    - ▶ Rewards the publication of high “value” research
    - ▶ Grants editors greater freedom

# Follow the money ...

- ▶ Who pays? Creators (authors/funders) or parent organizations
  - ▶ Disadvantages
    - ▶ Those not funded, or from resource-poor institutes can't publish
    - ▶ Encourages publication of poor quality research
    - ▶ Reduces editorial selectivity
    - ▶ Reduces available funding grant money
    - ▶ Puts more power in the hands of large companies
  - ▶ Benefits
    - ▶ Freedom to read for all
    - ▶ Avoids double-payments (output and input)
    - ▶ Removes bias
    - ▶ May be a cheaper way to publish

# Follow the money ...

- ▶ OA = Fairer split?
  - ▶ Research-intensive pay more?
  - ▶ Educationally-intensive pay less?
- ▶ Economic impact?
  - ▶ Lower cost for many countries
  - ▶ Higher cost for research-wealthier countries
    - ▶ Increase for UK universities £130-140m pa: Loss to UK journal industry £2bn pa: UKRI report (Economic Impact Assessment, Publishers Association <https://www.publishers.org.uk/publications/economic-impact-assessment/>, 2021)





**Delegation to commercial companies**

# Business models for open

- ▶ 27 models?
- ▶ Income from
  - ▶ Advertising
  - ▶ Freemium publishing
  - ▶ Crowdfunding
  - ▶ Subsidies
  - ▶ APCs
  - ▶ Grants
  - ▶ Etc., etc.



Association of Learned and Professional Society Publishers

Original Article |  Open Access |  

## How society publishers can accelerate their transition to open access and align with Plan S

Alicia Wise  Lorraine Estelle

First published: 13 January 2020 | <https://doi.org/10.1002/leap.1272> | Citations: 8

 SECTIONS

 PDF  TOOLS  SHARE

### Abstract

Wellcome, UK Research and Innovation, and the Association of Learned and Professional Society Publishers commissioned Information Power Ltd. to undertake a project to support society publishers to accelerate their transition to open access (OA) in alignment with Plan S and the wider move to accelerate immediate OA. This project is part of a range of activities that cOAlition S partners are taking forward to support the implementation of Plan S principles. The objective of this project was to explore with learned societies a range of potential strategies and business models through which they could adapt and thrive under Plan S. We consulted with society publishers through interviews, surveys, and workshops about the 27 business models and strategies identified during the project. We also surveyed library consortia about their willingness to support society publishers to make the transition to OA. Our key finding is that transformative agreements emerge as the most promising model because they offer a predictable, steady funding stream. We also facilitated pilot transformative agreement negotiations between several society publishers and library consortia. These pilots and a workshop of consortium representatives and society publishers informed the development of an OA transformative agreement toolkit. Our conclusion is that society publishers should consider all the business models this project has developed and should not automatically equate OA with article publication charges.

# The basic models

## ► Gold OA

### ► Article Publication fees

- Difficult to administrate
- Small income stream (per-article), costly (ave.\$2k)
- “Bundles” sold to reduce price
- Waivers to geographical regions (or members, etc.)
- Only works well in highly-funded environments

## ► Hybrid

### ► As Gold, but only OA where APC is paid

- Subscription price determined by no. OA articles in previous year
- Ideally, journal will “flip” to OA
- Journals frequently plateau



# The basic models

## ► Green

- Repository-based (journals stay subscription)
  - Easy for publishers
  - Unsure of longer-term financial implication (no back sales)
  - Potentially unsafe articles (early versions) freely available
  - But common in some areas (e.g. High Energy Physics)

# The basic models

- ▶ Transformative deals
  - ▶ AKA “Read-and-publish”
  - ▶ One subscription also includes OA publishing of faculty articles
  - ▶ Sometimes restrict number of OA articles
  - ▶ Price usually based on previous subscription, plus anticipated OA publications
  - ▶ “Publish-and-read” - the same model but the focus is on OA publishing

## Transformative agreements: Do they pave the way to open access?

Ángel Borrego , Lluís Anglada, Ernest Abadal

First published: 03 December 2020 | <https://doi.org/10.1002/leap.1347> | Citations: 5

 SECTIONS

 PDF

 TOOLS

 SHARE

### Abstract

Transformative agreements, also known as 'offsetting', 'read and publish', or 'publish and read' agreements, have shifted the focus of scholarly journal licensing from cost containment towards open access publication. An analysis of 36 full-text transformative agreements recorded in the ESAC registry shows that 'transformative agreement' is an umbrella term that encompasses different kinds of contracts. We differentiate between pre-transformative, partially transformative, and fully transformative agreements. Pre-transformative agreements are traditional subscription licences that grant article processing charge (APC) discounts or vouchers for open access publication of a limited number of articles. Partially transformative agreements differentiate between a read fee and a publish fee to cover the processing charges of a certain number of articles. Fully transformative agreements allow unlimited open access publication of the scholarly output of the subscribing institution. In all three categories, some agreements restrict open access publication to hybrid journals, whereas others allow publication in both hybrid and gold journals. Transformative agreements are more transparent than traditional journal licences, allow authors to retain copyright, and make provisions to facilitate the management of open access workflows. It is hard to assess whether these



## SUBSCRIBE TO PEN

### *S2O Community of Practice*

"Subscribe to Open" (S2O) is a pragmatic approach for converting subscription journals to open access—free and immediate online availability of research—without reliance on either article processing charges (APCs) or altruism.

S2O relies on existing library subscription procurement processes. The model provides a realistic and immediate route to opening a vast body of research output that would otherwise remain gated.

This site presents variations of S2O adapted to different needs. It offers a forum for publishers and libraries to share their experiences with the model and to establish definitions and boundaries for S2O approaches. We welcome participation from librarians, publishers, funders and others with an interest in opening scholarly information for the public benefit. We are interested in how the model is perceived among libraries at different types of institutions, and we ask for your help in complete this 8-minute survey: [S2O Survey \(snapsurveys.com\)](https://snapsurveys.com).

# The basic models

- ▶ Subscribe to open
  - ▶ Launch a call for libraries to "support" (subscribe)
  - ▶ When target met, the journal flips to OA
  - ▶ If target not met, then only supporting (subscribing) libraries have access
  - ▶ Emerged from book publishing

# The basic models

## ▶ Collaborative funding

- ▶ Groups of journals/publishers seek funding as a “package”
- ▶ E.g. Libraria (anthropology, etc.) since 2018
  - ▶ (Now appears to have used Berghan to flip using S2O)
- ▶ E.g. SCOAP3 (particle physics)
  - ▶ 3000 libraries, 3 intergovernmental organizations (IGOs), percentage payments according to country publications, uses CERN as “clearing house”

# The basic models

- ▶ Platinum
  - ▶ OA without author fees
  - ▶ Supported by
    - ▶ Parent organization
    - ▶ Grant funding
    - ▶ Revenue streams (e.g. workshops, etc.)
    - ▶ Additional services (e.g. editing)
    - ▶ Often CC BY NC
- ▶ PWYW (pay what you want)
  - ▶ APCs, but level set by authors/institutes





# The basic models

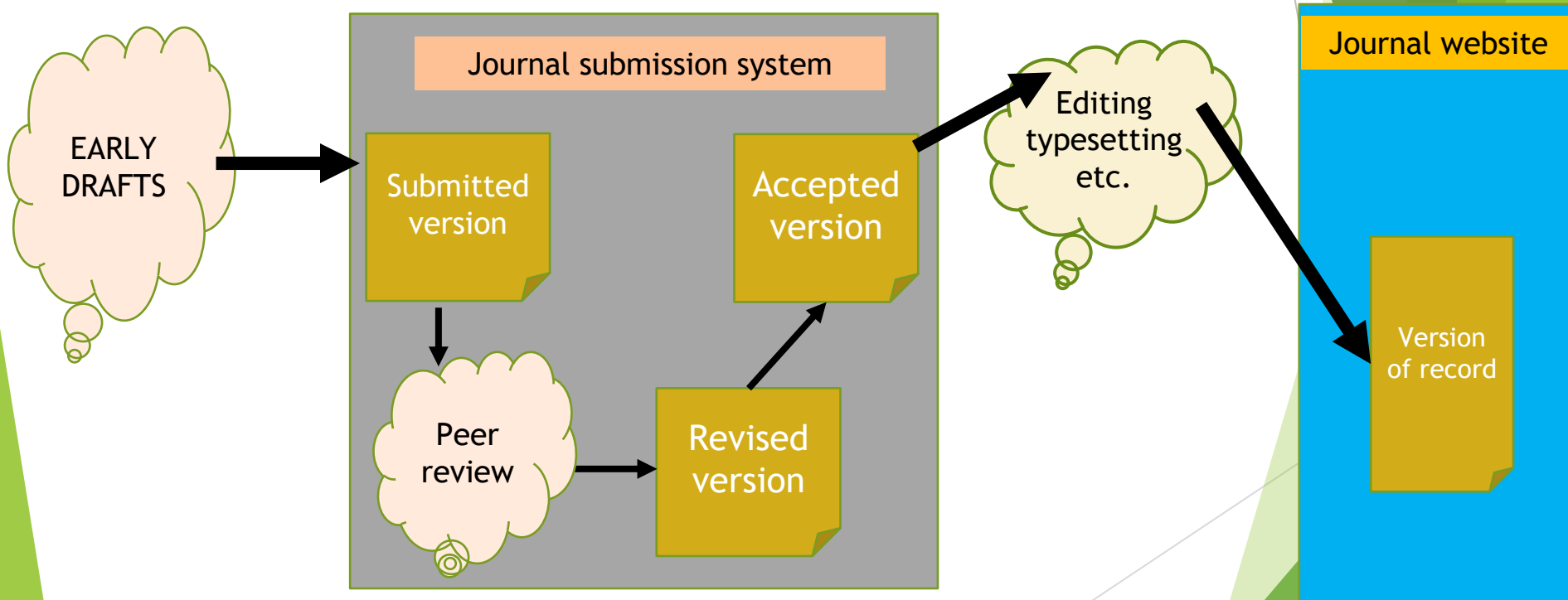
## ▶ Bronze

- ▶ Open after time delay (e.g. 2 years)
- ▶ Usually under “all rights reserved” licence
- ▶ Common in several areas
- ▶ Not compliant with most funders' requirements

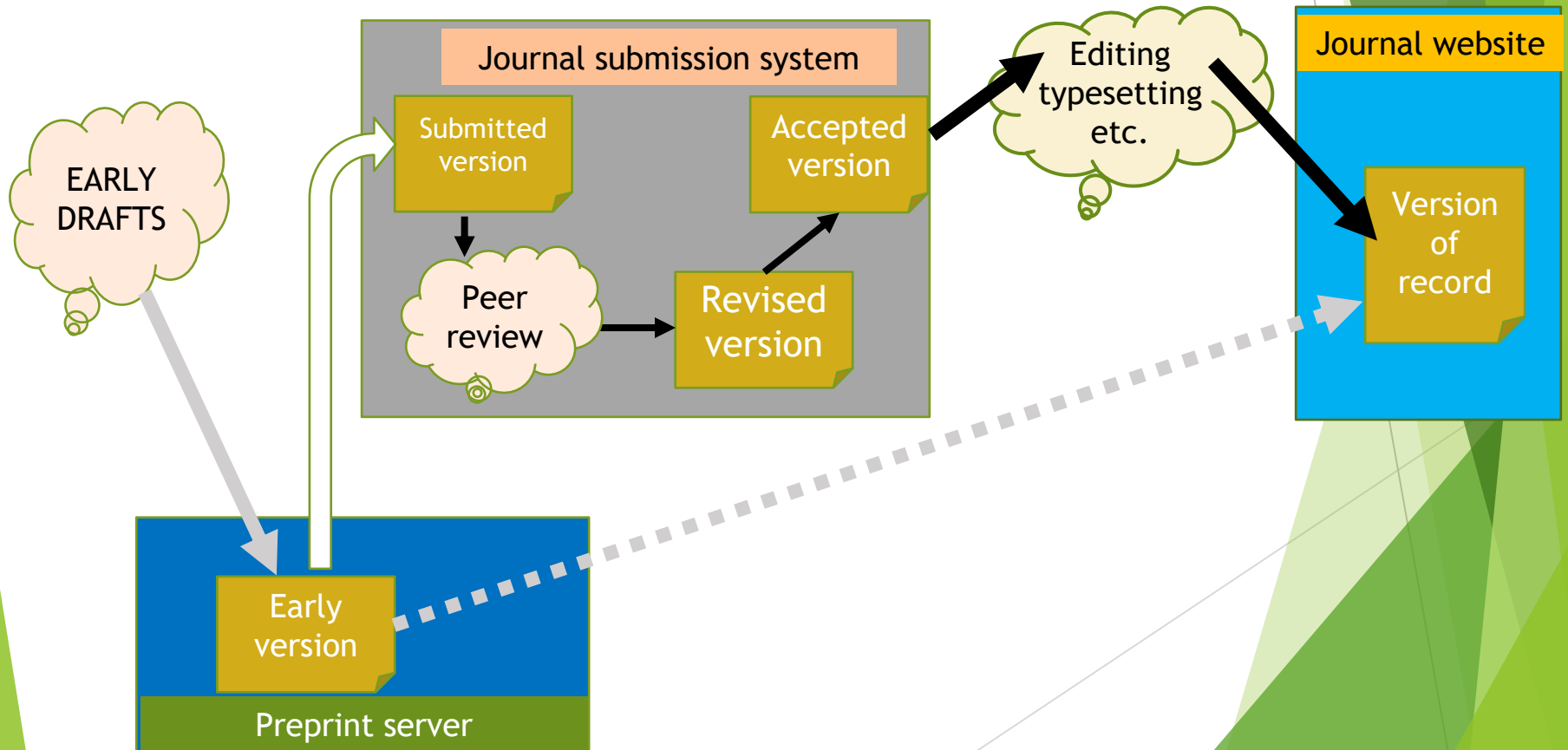


Where preprints fit in

# The usual workflow



# The preprint system





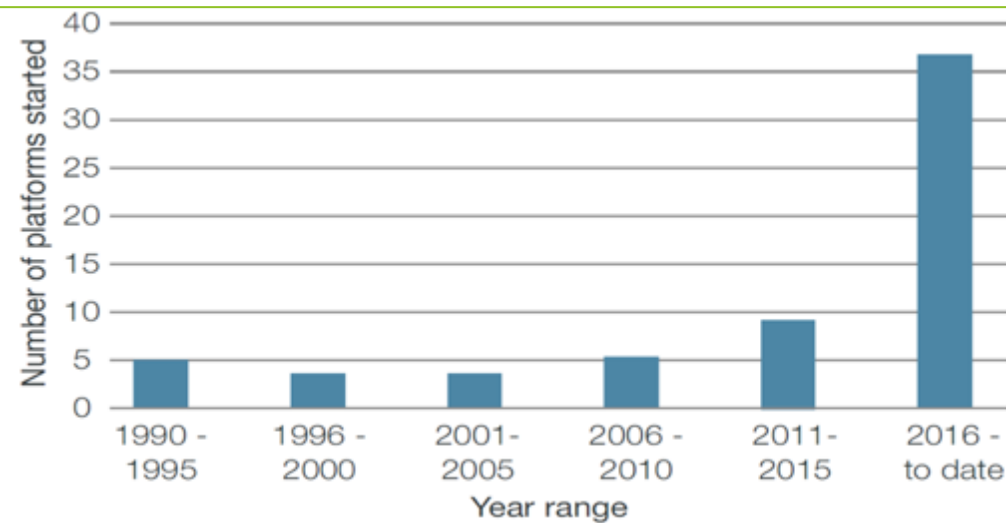
# The original?

- ▶ ArXiv
- ▶ Launched 1991, Los Alamos National Laboratory, USA, by Paul Ginsparg
  - ▶ Now managed out of Cornell
- ▶ Launched as xxx.lanl.gov, renamed as ArXiv.org in 1998
- ▶ 1.8m articles
- ▶ 16,000 submissions per month



The original server, on Paul Ginsparg's desk

# Recent growth

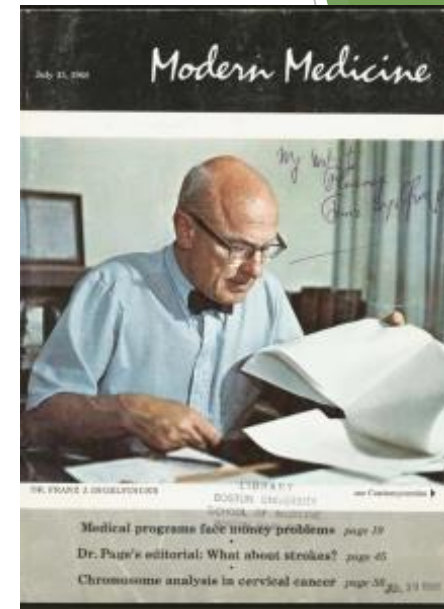


Source, Scholarly Kitchen, 2019



# Preprints and journals: 1 - uneasy relationship

- Ingelfinger rule
  - Still in operation?



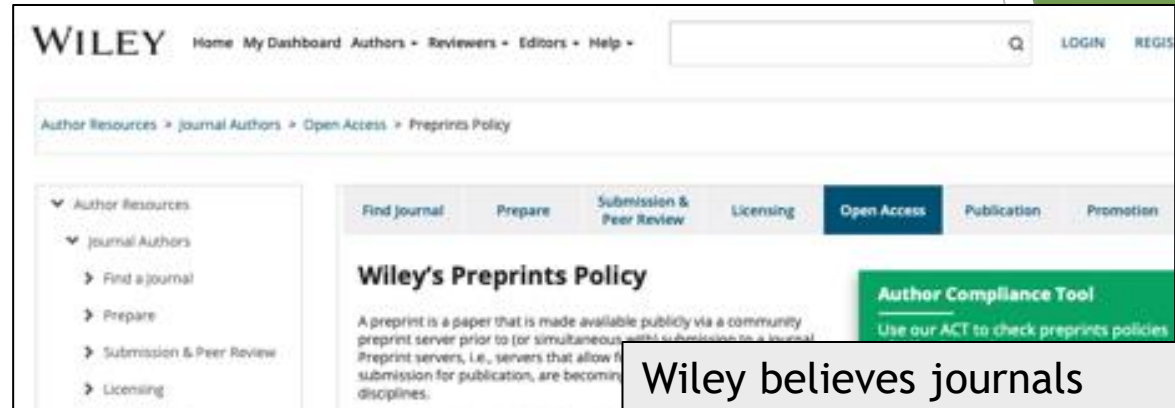
## Journals Lose Citations to Preprint Servers

By PHIL DAVIS | MAY 21, 2018 | 60 COMMENTS

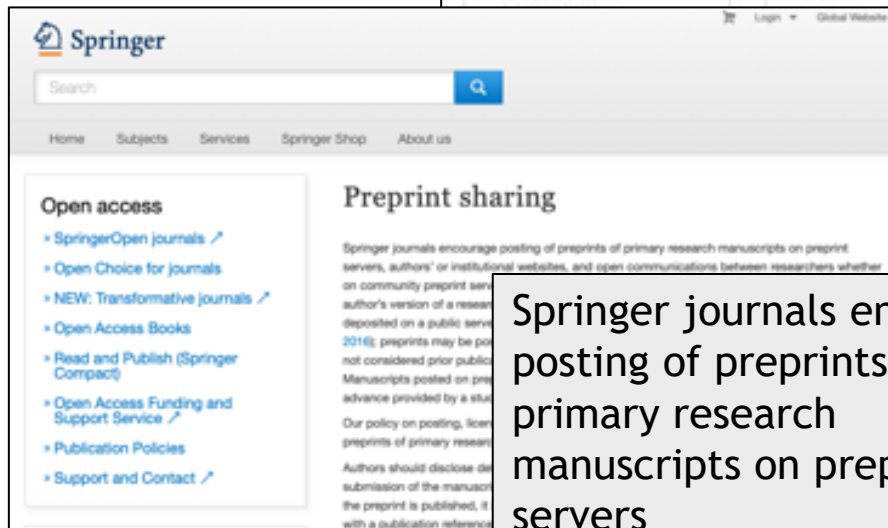
CONTROVERSIAL TOPICS | METRICS AND ANALYTICS | OPEN ACCESS | RESEARCH | SOCIAL ROLE

# Preprints and journals:

## 2- acceptance



Wiley believes journals should allow for the submission of manuscripts which have already been made available ....



Springer journals encourage posting of preprints of primary research manuscripts on preprint servers



## READY, SET, SHARE

Choose how and when your work is shared. It takes **less than 7 days** from submission for your preprint to be publicly available so you can stake a claim and start earning citations for your work earlier.

[Preprint-posting Checklist](#)

## 3 WAYS TO GET STARTED

**Direct transfer from bioRxiv and medRxiv**

Authors of existing bioRxiv and medRxiv preprints can choose to submit their manuscript for consideration at relevant PLOS journal through the Direct Transfer program.

**Post on bioRxiv when submitting to PLOS**

During initial submission, authors life science manuscripts can opt-in to have their manuscript posted as a preprint on bioRxiv.

**Post directly to the most relevant preprint server**

Authors submitting manuscripts in the physical sciences and science and medicine are encouraged to post to a relevant preprint server and share the DOI with us.

[Submit your research.](#)

## Preprints with The Lancet

Preprints with The Lancet is part of SSRN's First Look, a place where journals identify content of interest prior to publication. Authors have opted in at submission to The Lancet family of journals to post their preprints on Preprints with The Lancet. The usual SSRN checks and a Lancet-specific check for appropriateness and transparency have been applied. Preprints available here are not Lancet publications or necessarily under review with a Lancet journal. These preprints are early stage research papers that have not been peer-reviewed.

In biology publishing shakeup, eLife will require submissions to be posted as preprints



# 3: Partnerships?



Share your preprint and track your manuscript's review progress with our new service

Our commitment to early sharing and transparency in peer review inspires us to help our authors in new ways. So, in October 2018, we added a new option for select Springer Nature journals. This first-of-its-kind option, called *In Review*, partners at Research Square, makes it easy to share a preprint of your manuscript on the Research Square platform and gives you real time updates on your manuscript's progress. *In Review* clearly links your manuscript to the journal reviewing it, while it's in review.

**In Review** | Cardiovascular Diabetology

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RESEARCH ARTICLE

## Impact of Diabetes in Patients Waiting for Invasive Cardiac Procedures During COVID-19 Pandemic

> Raul Moreno, Jose Luis Diez, Jose Antonio Diarte, Pablo Salinas, Jose Maria de la Torre Hernández, Joan A Cordon, Ramiro Trillo, Juan Alonso-Briales, Ignacio Amat-Santos, Rafael Romaguera, Jose Francisco Diaz-Fernandez, Beatriz Vaquerizo, Soledad Ojeda, Ignacio Cruz-Gonzalez, Daniel Morena-Salas, Armando Perez de Prado, Fernando Sarnago, Pilar Portero, Alejandro Gutierrez-Barrios, Fernando Alfonso, Eduard Bosch, Eduardo Pinar, Jose Ramon Ruiz-Arroyo, Valeriano Ruiz-Quevedo, Jesús Jiménez-Mazuecos, Fernando Lozano, Jose Ramón Rumoroso, Enrique Novo, Francisco J Irazusta, Bruno Garcia del Blanco, José Moreu, Sara M Ballesteros-Pradas, Araceli Frutos, Manuel Villa, Eduardo Alegria-Barrero, Rosa Lazaro, Emilio Paredes

DOI: [10.21203/rs.3.rs-231909/v1](https://doi.org/10.21203/rs.3.rs-231909/v1) Download PDF

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**BADGES**

Prescreen

**PEER REVIEW TIMELINE**  
CURRENT STATUS: **UNDER REVIEW**

Version 1  
Posted 23 Feb, 2021

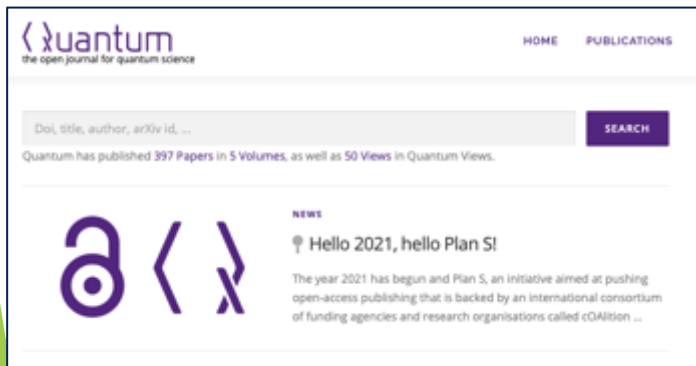
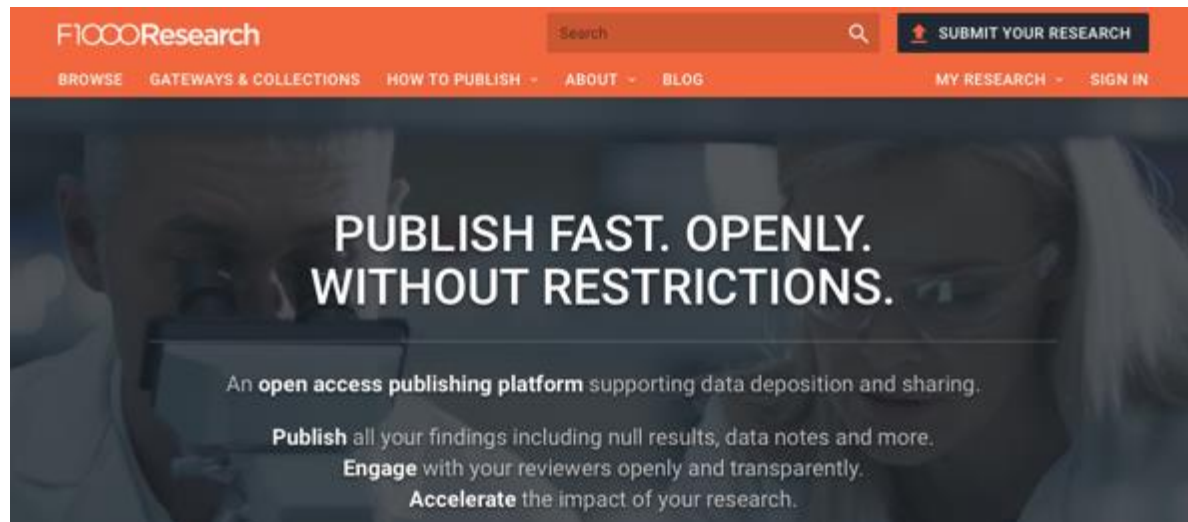
No community comments so far

Reviewer #2 agreed  
On 16 Feb, 2021

Review #1 received  
Received 15 Feb, 2021

Editor assigned  
On 14 Feb, 2021

## 4: Merger: Preprint-journals, overlay journals





# Final thoughts ..

Road ahead, still unclear





16th EASE General Assembly and  
Conference

Valencia, Spain and online

24-26 June 2022

The manuscript journey: the editors' perspective

# Thank you for listening

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<http://learned-publishing.org>

# THE LANDSCAPE OF OPEN ACCESS IN 2022

Pippa Smart

Vabakutseline teaduskirjastusi ja teadusajakirjade toimetajaid nõustav  
konsultant (PSP Consulting)  
ajakirja *Learned Publishing* peatoimetaja

