

Transition to Open Access

The Role of Public Funders and Research Organisations

Falk Reckling

[FWF](#) / [Open Access Network Austria](#) (OANA)

(Sources and further information are [hyperlinked](#))

Robert Darnton

Historian of Publishing, Head of the Harvard Library and Initiator of Digital Public Library of America



“Enlightenment philosophers celebrated the ideal of a republic of letters, open to everyone without any national or disciplinary borders. Some of them considered the unrestricted communication of ideas as crucial for the flourishing of a political republic ...”

“... thanks to modern technology, we can realize the dream of the Enlightenment philosophers.”

“ ... knowledge is a public good, and public goods cost money, nothing is free, but they should be made available free ...”

Premise One

Open Access will succeed ... sooner or later ...
but at the latest when the generation of the *digital natives* come to power in research.

This generation does not only have new technical skills but different approaches to reading and sharing information.

That will change the modes of scholarly communication significantly.

„Old Boys“ vs Digital Natives

FWF Researcher Survey 2013

	<i>High or very high need for promoting Open Access in Austria</i>	<i>Promoting Open Access is not or only partly covered by the FWF</i>
All	67,9%	23,8%
Women	73,8%	24,7%
Men	63,9%	22,9%
Natural Science	66,3%	16,4%
Technical Science	63,2%	28,5%
Life Sciences	71,7%	21,1%
Social Sciences	64,4%	37,6%
Humanities	69,5%	25,8%
Full Professors	53,0%	17,3%
Other Professors	64,2%	20,8%
PostDocs	69,5%	21,8%
Doctoral Students and others	79,5%	36,6%

Premise Two

Open Access will not save money immediately ...
but in the long run.

Carlos Moedas

EU Commissioner for Research, Science and Innovation



“Expensive fees for publically funded research results, that could be of benefit to citizens, must end, and new business models put in place ... “

Steps towards transition

The transition is a question of time and cost.

Four ideas to accelerate the process and to minimise the cost.

1. New (big) deals
2. Evoke snowball effects
3. Facilitate market entrance
4. Stabilise a skeletal international OA infrastructure



1. New (Big) Deals with Publishers

Proposal of the Max Planck Society

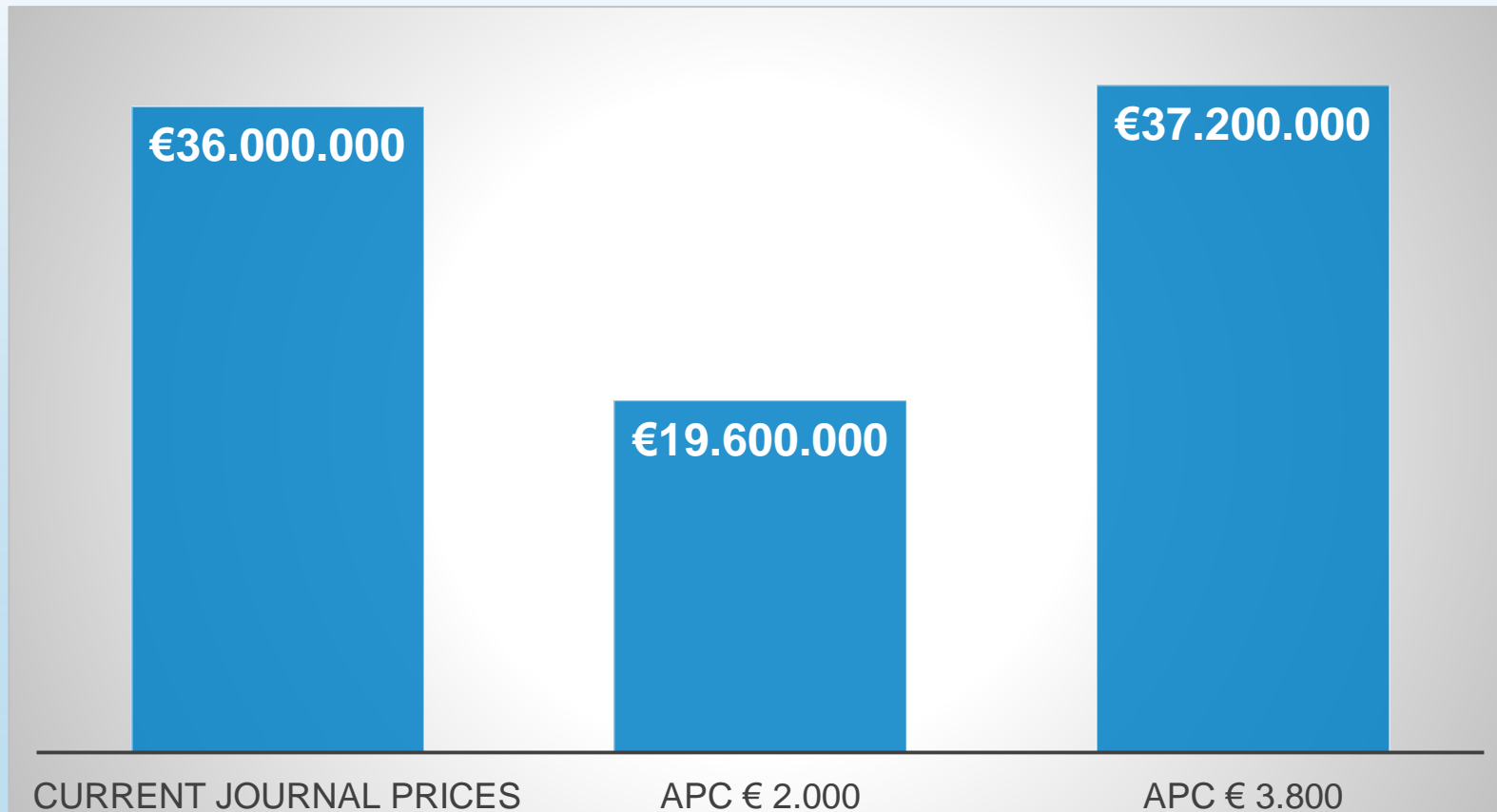
[Ralf Schimmer et al](#): *“An internationally concerted shifting of subscription budgets is possible at no financial risk, maybe even at lower overall costs ...*

*... The approach was pioneered in an agreement between Austria and IOP Publishing in early 2014.”**

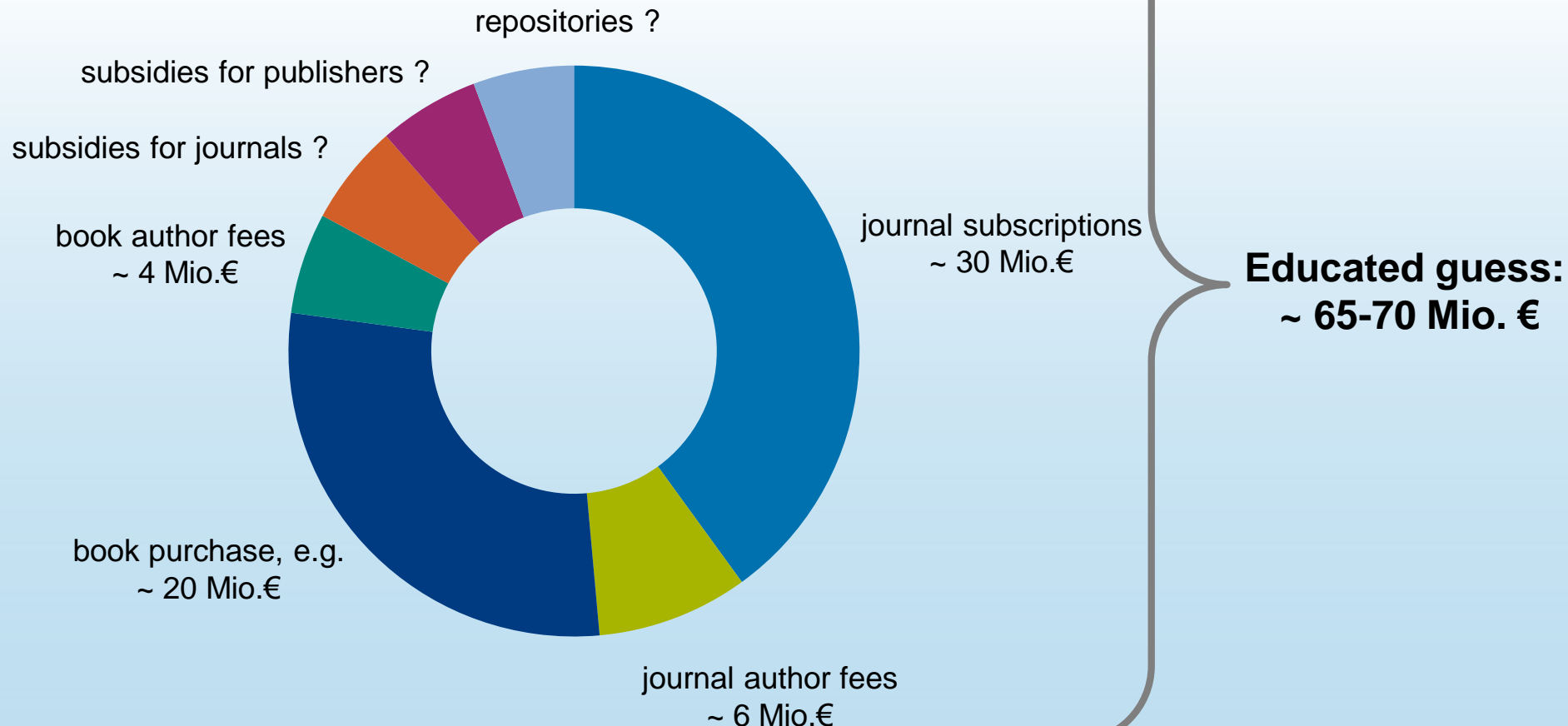
* This approach was developed by the KEMÖ and the FWF and first presented at [5th Conference on Open Access Scholarly Publishing \(COASP\)](#) in Riga, 19/9/2013

MPG Model applied to Austria 2013

- ~ 36 Mio. subscriptions and author fees for journals in AUT
- ~ 17.500 articles with authors from AUT
- ~ 9.800 articles with corresponding authors from AUT (56%)



Public Spending for Academic Publications in Austria 2013



Ratio of Power

Big Publisher

European Funders

~ < € 10 Mrd.

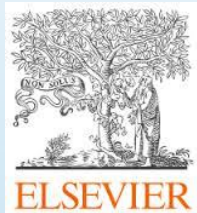
~ € 150 Mrd.



Ratio of Power

Big Publisher

European Funders



~ < € 10 Mrd.



Taylor & Francis
Taylor & Francis Group



Many Important Initiatives, but Coordination is needed*

Denmark

- Goal: 100% (green and gold) [OA in 2022](#)

Norway

- [Research Council](#) introduced five-year OA funding scheme

Sweden

- Goal: 100% (green and gold) [OA in 2025](#)

United Kingdom

- Governmental goal of 50% (100 %) OA within 5 years (10 years)
- [VSNU & Springer agreement](#): OA publishing and access subscription
- Government & [RCUK action](#)
- only gold sustainable JISC APC [pilot offsetting](#) APC costs with subscription fees
- OA obligatory for the next [Research Excellence Framework](#)
- Wellcome Trust [Open Access Policy](#) incl. strict sancations

Germany

- German Alliance supports concrete realizations of MPG proposal
- [DFG](#) supports German universities to establish OA publication budgets since 2010
- OA ERA Policy by the [German Government](#)

Austria

- [OANA](#): network supported by 50 organisations
- FWF & Austrian library consortium piloting offsetting model with [IOP](#) and [T&F](#)
- FWF: worldwide first OA [book programme](#)
- FWF: highest [OA expenditure](#) of a funding agency

European Union

FP7 & Horizon 2020

- mandatory [OA Policy](#)
- recommendation to the member state: [60% OA by 2016](#)

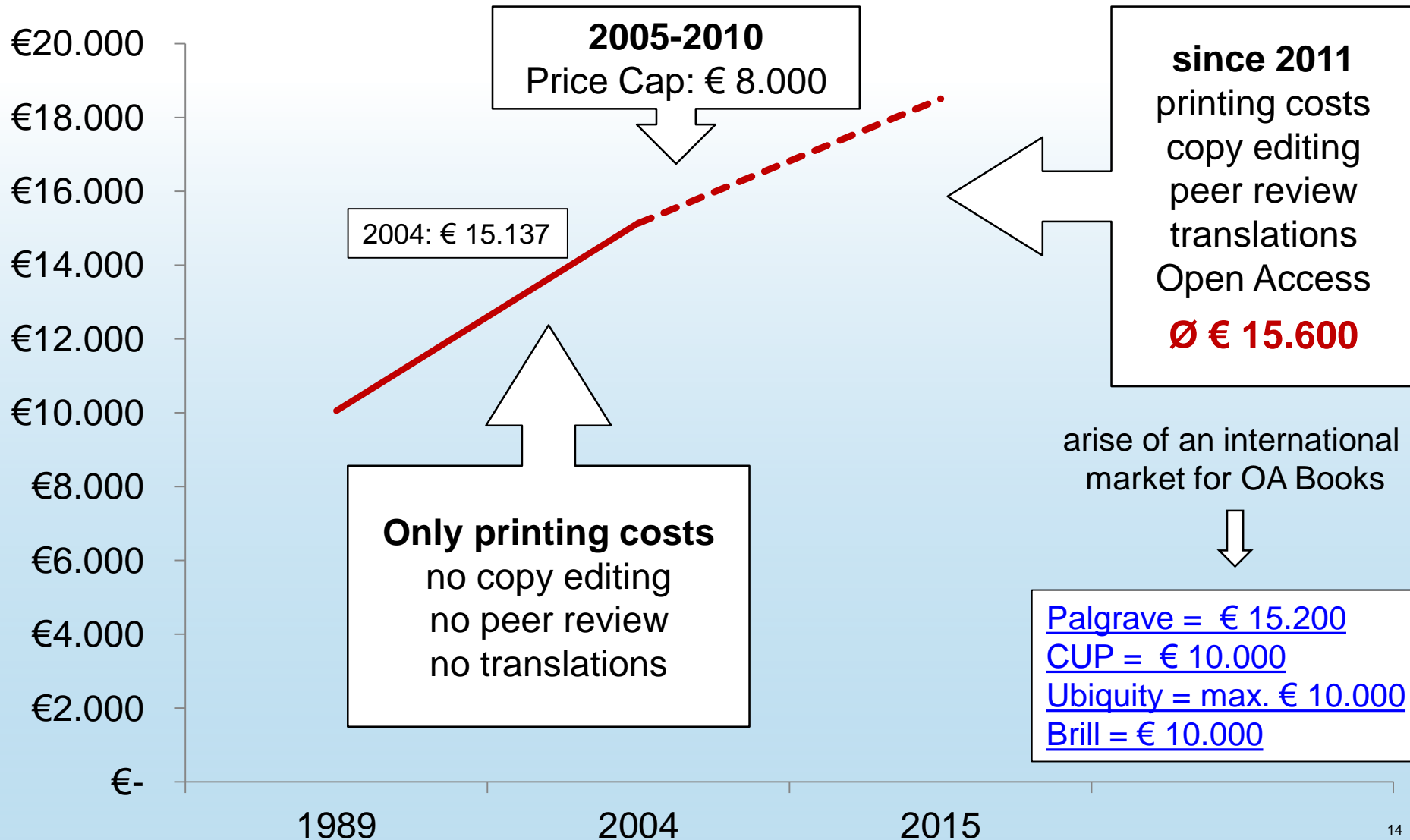
Science Europe

- strong OA [position statements](#) in 2013
- principles for OA publishing services in 2015

USA

- 12 month embargo [OA policy](#) for all public funding agencies with a budget > \$ 100 Mio.
- strong OA Ivy League supporters, e.g. [Harvard](#)
- most advanced OA policies by some charities like [Gates](#), [Ford](#) and others

Example: Price Service Relation for FWF book funding



Lesson to learn I

Define minimum expected services from publishers applicable when providing payments/subsidies for academic publications !

[Science Europe Principles on Open Access](#)

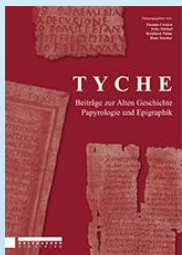
[Publisher Services](#)

But we think that is not enough.

For a functional market,
big publishing houses have to be challenged
by more competition.

2. Evoke Snowball Effects

- funding the transition of first-class cost-efficient publication venues to Open Access



[Austrian Journal
of Political Science](#)

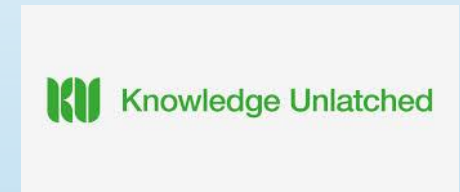


Austrian
University
Press

Danube
University
Press

3. Facilitate Market Entrance

- funding new cost-efficient Open Access publication venues



4. Stabilise the Skeletal International Infrastructure

- sustainable funding of a common international Open Access infrastructure



Christoph Kratky

former FWF President

*“More science funders must put their money where their mouths are, and back their positive words with action. It will not be cheap, but the longer we wait, the more expensive it will be.”**



C. Kratky: [A coordinated approach is key for open access](#), in: NATURE, 500, p. 503, 29 August 2013

Grand Challenges

Reallocation: There is already enough money in the publication system. But we have to make it transparent and reallocate it incrementally to Open Access.

International cooperation: The academic publication system is a highly international enterprise.

Funding the transition must be organised across the borders. Funders must pool their money and have to accept a certain level of free-riding.



Sander Dekker

State Secretary for the
Ministry of Education,
Culture and Science,
Netherlands

Greg Clark

Minister for Universities,
Science and Cities,
UK



Open Access will be a priority issue forwarded by the Dutch EU Presidency in 2016 and outlined by a common Dutch-British Non-Paper [Open access to publications and data](#)

Many problems still remain:

- perverse effects of the academic reputation system (see [Randy Schekman's](#) Ted Talk)
- introduce mechanisms that authors remain sensitive to price differences (see [West et al 2014](#))
- [cost sharing](#) between research institutions and funders
- how to deal with non peer reviewed „grey literature“
- Open Access for Research Data
- Open Science
- ...

First things first.

**Austria is in a good position to be one of the pioneers,
but support from big politics would do no harm.**

For more information

[OANA - Open Access Network Austria](#)

[FWF Open Access News](#)

[FWF Open Access on Twitter](#)