



# Offsetting Deals for Open Access – Swedish Experiences

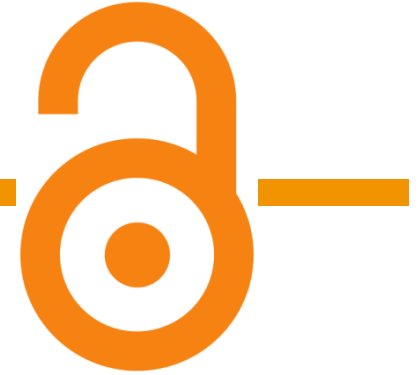
Anna Lundén

Head of Division National Coordination of Libraries, National Library of Sweden

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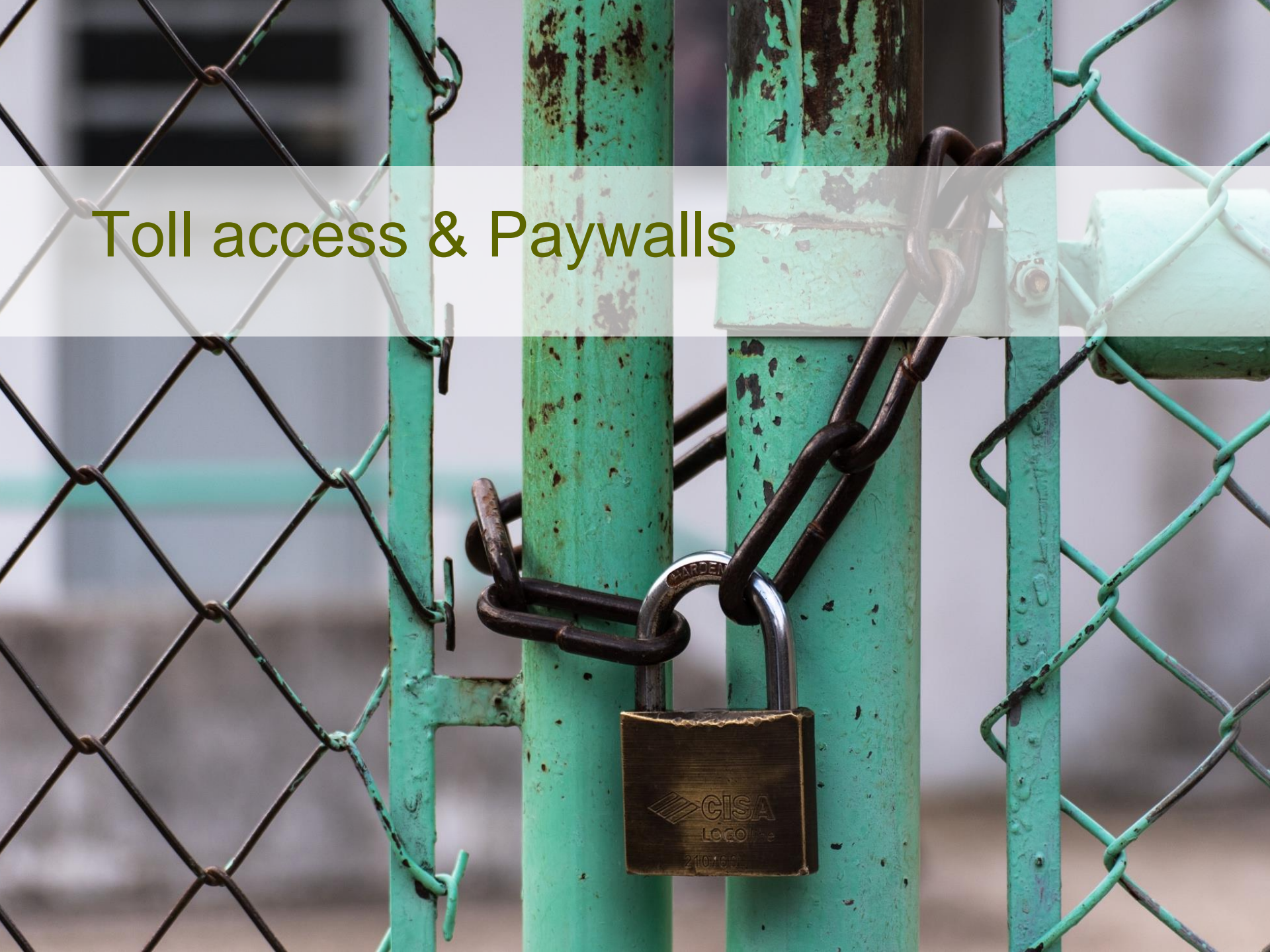
# Outline

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- Bibsam Consortium
- OpenAccess.se
- Offsetting as Transition to Open Access  
– Swedish Experiences
- Key Challenges

# Toll access & Paywalls



# Bibsam Consortium

- Started in 1996
- Transition from print to electronic journal subscriptions, from individual subscriptions to package deals (so called big deals)
- Currently 42 license agreements for 100+ e-resource packages
- 76 participating organizations universities, university colleges, governmental agencies and research institutes
- Steering Committee of 7 representatives, chaired by the Vice Chancellor of Stockholm University
- 6 members of staff at the National Library of Sweden negotiate and sign central license agreements on behalf of participating organizations





Economy



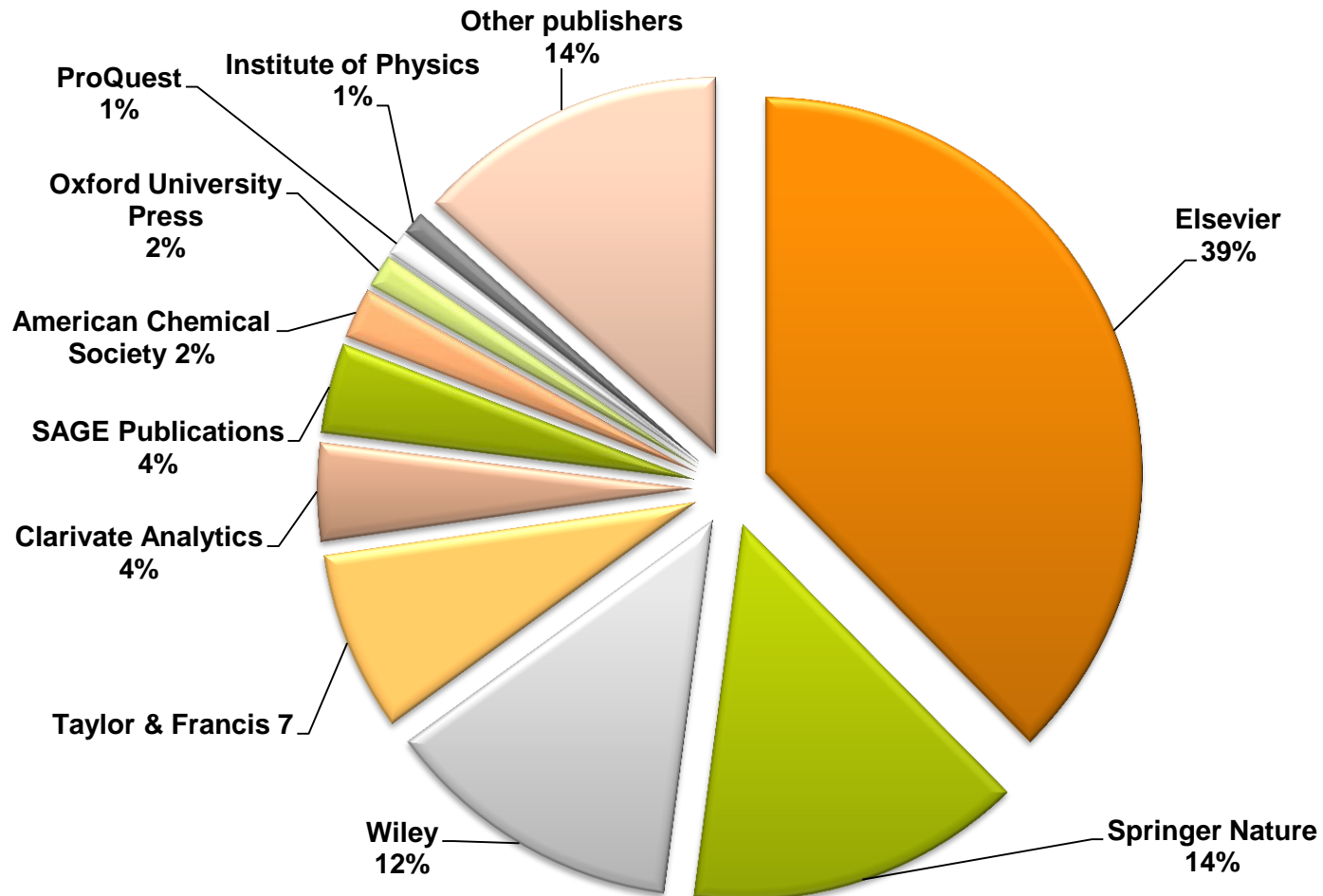
# Bibsam Consortium Figures

- Turnover approx. 34,5 million EURO
- E-journals approx. 85 % of turnover
- 10 most expensive agreements account for 86 % of turnover
- 10 largest organizations account for 73 % of turnover

## Top 5 most expensive agreements:

|                       |         |
|-----------------------|---------|
| – Elsevier            | 14,4 M€ |
| – Springer Nature     | 5,5 M€  |
| – Wiley               | 4,9 M€  |
| – Taylor & Francis    | 2,9 M€  |
| – Clarivate Analytics | 1,6 M€  |

# Turnover percentage by publisher 2017



# Bibsam's Models for Cost Division

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- Bibsam consortium approach - model tailored to each e-resource
- Parameters:
  - FTE students – all, or within specific subjects
  - FTE researchers – all, or within specific subjects
  - Current spend (no print holdings)
- Usage statistics is used as a tool for analysis and to allocate weight to the different parameters





# Open Access



# OpenAccess.se

- 2006 started as a project in the National Library of Sweden
- Focus on providing information, policy coordination, promoting and supporting open access in Sweden
- Annual conference *Meeting Place Open Access – MOA 2017*
- Swedish NOAD in the EU funded project OpenAire
- Open Access expert in the Swedish advocacy platform for H2020 programme "Science with and for Society"
- Member in many international open access networks and organizations: e.g. COAR, DOAJ and SPARC



# License Negotiation & Open Access

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In 2010 Bibsam Consortium introduced discussions regarding open access when negotiating with publishers:

- Author rights, self-archiving
  - Negotiate to include green open access rights in license agreements to comply with funders' mandates
- APC discounts
  - Negotiate discounts on article processing charges
- Agreements with gold open access publishers
  - Tried with BioMedCentral and Directory of Social Science

Early attempts, not very successful, only minor steps towards open access...

# Swedish Experience: Discounts

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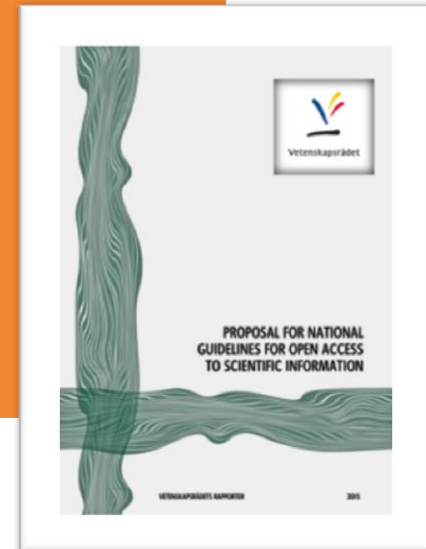
- APC discounts in Bibsam agreements with the following publishers:
  - IOS Press (€100 discount)
  - ISPG (10% discount, open access journals only)
  - Karger (50% discount, open access journals only)
- Discounts on Publisher memberships:
  - Royal Society
  - BMJ
  - MaryAnn Liebert
- Royal Society of Chemistry
  - Gold for Gold vouchers to use for APC payments
  - Uptake from 33% in 2013 to 70% in 2016
- No APC costs for authors publishing in SCOAP<sup>3</sup> journals



# Political Steps Towards Open Access



- 2012 Recommendation from the EU commission to member states
- 2012 Swedish Research Bill addresses open access
- 2015 *A Proposal for National Guidelines for Open Access to Scientific Information* by the Swedish Research Council in collaboration with the National Library of Sweden
  - Identifying opportunities for and obstacles to a transition to open access
- 2016 Competitiveness Council EU's ministers for research and innovation agreed on conclusions for Open Science



[https://publikationer.vr.se/en/product/proposal-for-national-guidelines-for-open-access-to-scientific-information/?\\_ga=1.125596930.903765602.1446099729](https://publikationer.vr.se/en/product/proposal-for-national-guidelines-for-open-access-to-scientific-information/?_ga=1.125596930.903765602.1446099729)

# Government Assignment - Coordinate Open Access to Scholarly Publications

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## The Swedish Research Bill 2016/17:50

- All scientific publications resulting from research financed with public funds shall be published **immediately** open access
- Open access is **default** and toll access an exception
- The transition shall be fully realized within **10 years**
- **All stakeholders** within the Swedish research system shall work towards a common goal

# Appropriation directive in 2017

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”The National Library of Sweden shall coordinate the implementation of principles for open access in consultation with the Swedish Research Council”

# Roadmap 2017-2019

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To initiate and coordinate further studies in collaboration with stakeholder groups - funders, HEIs, researchers and libraries:

- The Swedish research assessment and allocation system for HEIs vs incentives for open access-publishing
- Financing the cost of transforming a subscription-based system to an open access system
- Open access to books
- Financial and technical support for scholarly and scientific journals wishing to convert to gold open access
- Monitoring compliance with funder mandates & policies



# Goal: Transition to Open Access in 2025

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- Control the **Total Cost of Publication** by combining reading and publishing fees (subscriptions and APCs)
- Re-direct funding streams from subscriptions (read) to funding APCs (publish)
- Bibsam Consortium's principle is to only negotiate multi-year agreements *if* containing an open access component
- Different models:
  - Vouchers / discounts
  - Offset
  - Read & Publish
  - Pay-as-you-publish

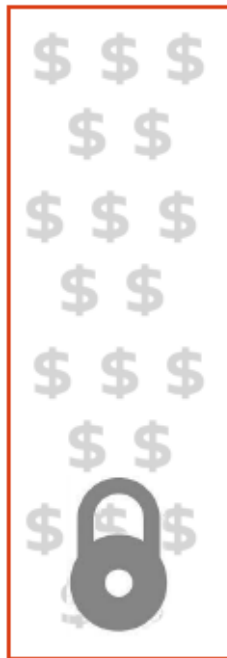


# Transition

# The Standard Hybrid Model

## Institution

- Spending for reading
- Spending for publishing on top
- No integrated transaction



Subscriptions

+



Open access

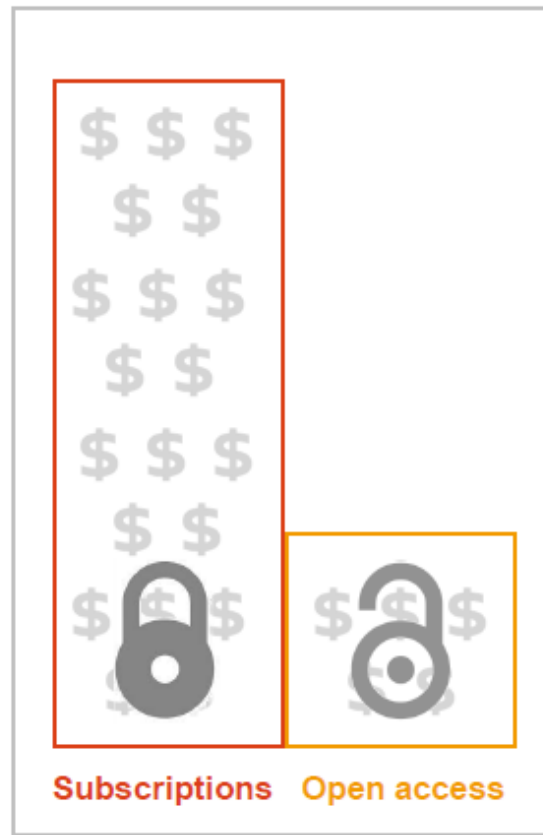
## Publisher

- Provides reading access
- Publishes individual papers open access

**Distinct operating models:  
add-on component with extra costs (“double dipping”) and little incentive**

# The Two Operating Models Are Combined

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# Shifting Costs

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# Offsetting agreements

Pilot agreements aiming at the consolidation of costs for open access publishing and subscription costs (instead of “double dipping”)



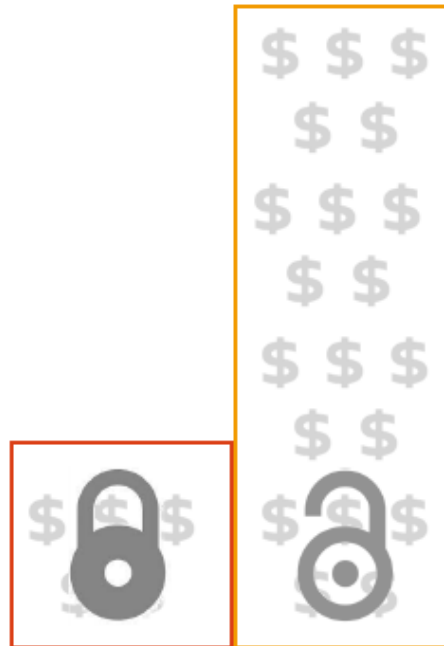
Dr. Ralf Schimmer from Max Planck Digital Library at ICOLC Amsterdam 2016, photo by Anna Lundén

# Offsetting Model at Work

## Institution

- Spending largely for publishing instead of subscriptions
- Shift of expenses
- New workflows with OA relevance

## Offsetting Agreement



## Publisher

- Revenue stream not disrupted
- Publishes all articles from Institution in OA
- Continues to provide reading access

One comprehensive approach with incentives for institutions and publishers to shift costs and operating modes

# Offsetting model – Read & Publish

|  | 2017 (year 1)      | 2018 (year 2)      |
|--|--------------------|--------------------|
| No. of articles published by corresponding authors | 100                | 110                |
| Article charge                                     | 2,000 EUR          | 2,000 EUR          |
| Publishing fee                                     | 200,000 EUR        | 220,000 EUR        |
| Reading fee  | 20,000 EUR         | 20,800 EUR (+4%)   |
| <b>Total</b>                                       | <b>220,000 EUR</b> | <b>240,800 EUR</b> |



# Swedish Experience: Springer Compact

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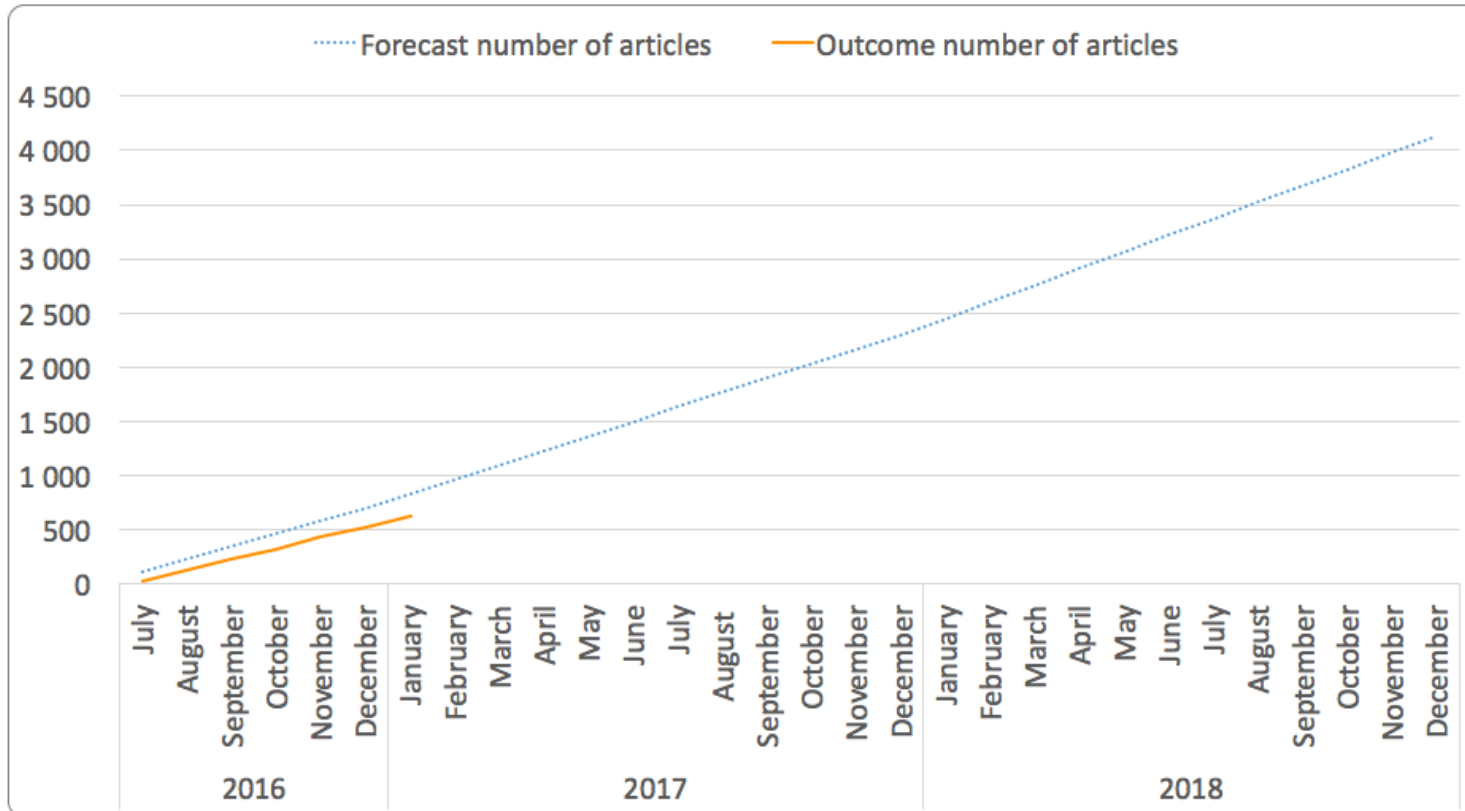


- Offset agreement between Springer Nature and the Bibsam consortium (40 Swedish HEIs and publicly funded research organizations)
- Agreement from July 2016 to Dec 2018
- Supported by the Swedish Research Council and the National Library of Sweden
- Output covered:
  - Original Paper
  - Review Paper
  - Brief Communication
  - Continuing Education

# Swedish Experience: Springer Compact



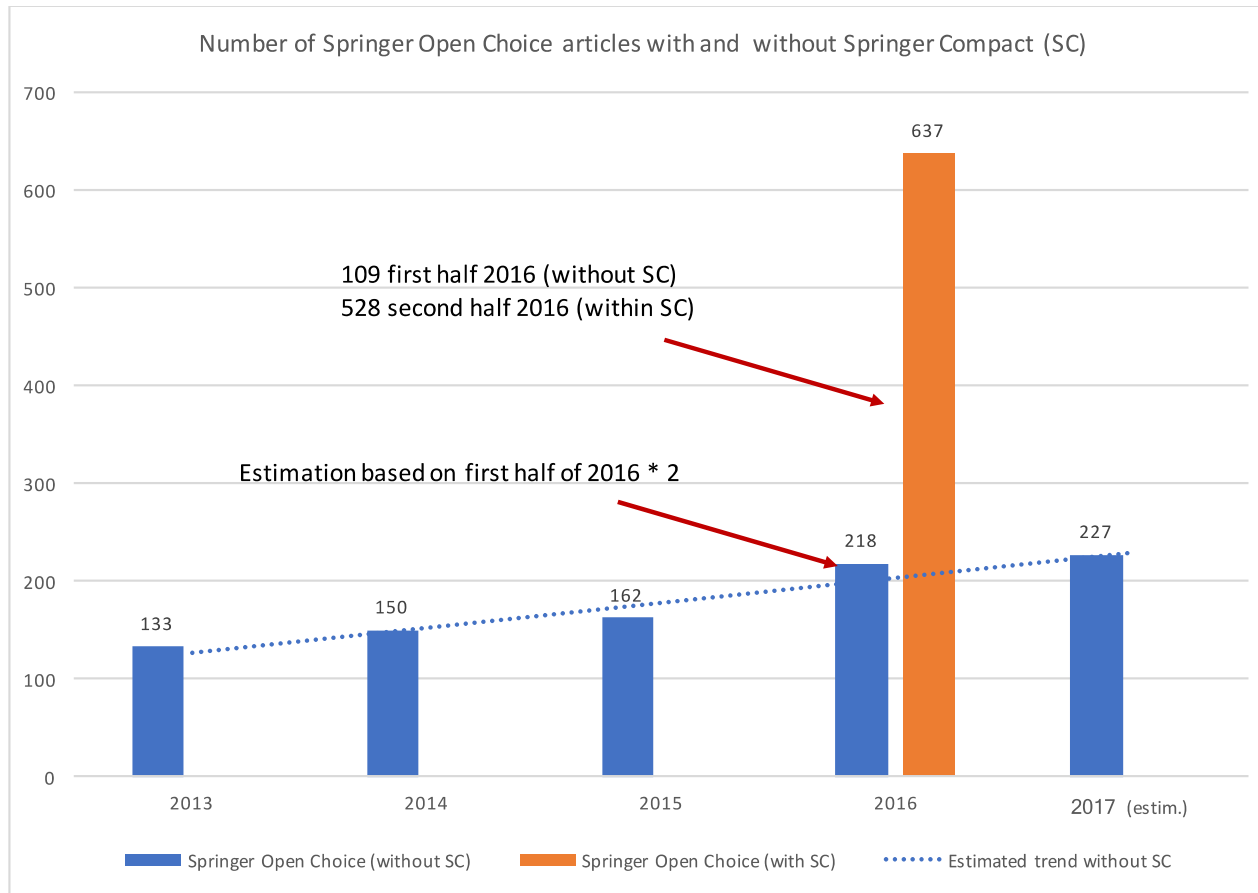
Chart showing forecast and outcome of publications per month, in total 4,162 "prepaid" articles



# Swedish Experience: Springer Compact



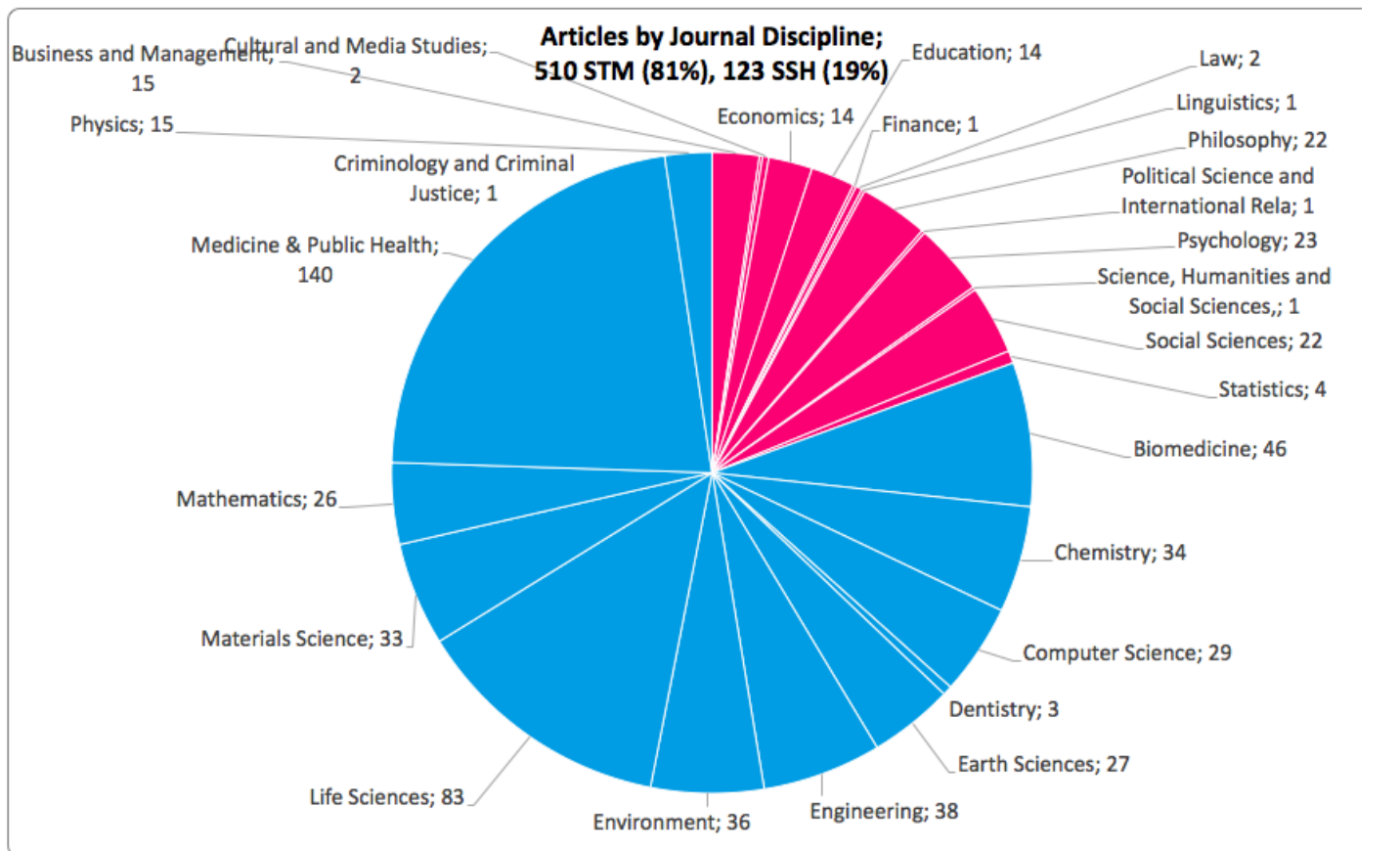
637 articles published in Q3-Q4, 2016 (342 YTD 2017)



# Swedish Experience: Springer Compact



## Article Output by Journal Discipline





# Administration

# Swedish Experience: Springer Compact

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- Increased workload for staff accepting articles in the article approval system
- During the peer review and publishing process a researcher may already have left the affiliated organization he/she belonged to at the time of submitting the article
- A researcher may submit other contact information than that known by the organization accepting the article in the article approval system
- Researchers may want to change corresponding author when they find out that another organization is participating in Springer Compact.

← 20

← 30

← 40



Rebate

# Offsetting model – rebate the following year

|  | 2017 (year 1)                                     | 2018 (year 2)                                      | 2019 (year 3)                                      |
|--|---|--|--|
| Nominal license cost   | 150,000 EUR                                       | 156,000 EUR<br>(plus 4% price increase)            | 159,120 EUR<br>(plus 2% price increase)            |
| Offsetting   | 0   | 90% = - 90,000 EUR                                 | 80% = - 80,000 EUR                                 |
| Pre-payment  | = 150,000 EUR                                     | = 66,000 EUR                                       | = - 79,120 EUR                                     |
| Article charges<br>(ongoing according<br>to publishing output) | e.g. 50 articles à 2,000<br>EUR<br>= +100,000 EUR | e.g. 50 articles à 2,000<br>EUR<br>= + 100,000 EUR | e.g. 50 articles à 2,000<br>EUR<br>= + 100.000 EUR |
| <del>Administration fee</del>                                  | <del>+ 2,200 EUR</del>                            | <del>+ 2,200 EUR</del>                             | <del>+ 2,200 EUR</del>                             |
| <b>Total</b>   | <b>252,000 EUR</b>                                | <b>166,000 EUR</b>                                 | <b>179,120 EUR</b>                                 |



# Swedish Experience: IOP Offset

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- Agreement from 2017 to 2019
- 100% of hybrid APC payments are offset against subscription prices and license fees
- Balance between local and global offsetting
  - Sliding scale of local and global offsets based on the proportion of hybrid articles in IOP's subscription journals
  - At low levels of hybrid, most of offset is local, in refunds against license fees; balance of offset is global through reductions in subscription and package prices
  - At 4% hybrid, 90% local offset, 10% global  
At 14% hybrid, 70% local offset, 30% global



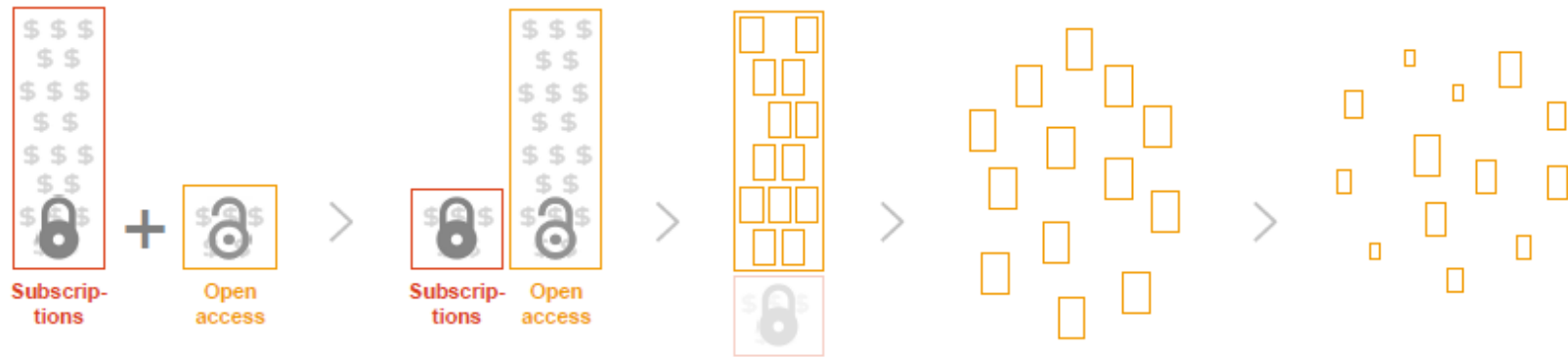
# Swedish Experience: IOP Offset

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- More labor-intensive than some offsetting agreements
- Considerable manual work for the publisher in identifying qualifying articles/authors
- Would be most effective (especially in any agreement not centrally funded) if license fees aligned more closely with value (e.g. measured by research-intensity in physics, FTE in physics, etc.), rather than with historical print spend
- More of license fee could be offset for more institutions
- Global offsetting is not targeted and not transparent enough so far



# The Transformation Road Via Offsetting



## Phase 1

### How to get in

- Combine subscriptions with OA
- Combine entitlements and shift costs
- Establish OA processes & workflows

## Phase 2

### How to get out

- Unbundle the individual publications
- Fade out the reading fee
- Establish differentiated APC pricing

Offsetting is a model dedicated to the transformation; it cannot be a new standard routine. Offsetting has two distinct phases; together they pave the way to an OA market situation.

# Practical Support for the Transition

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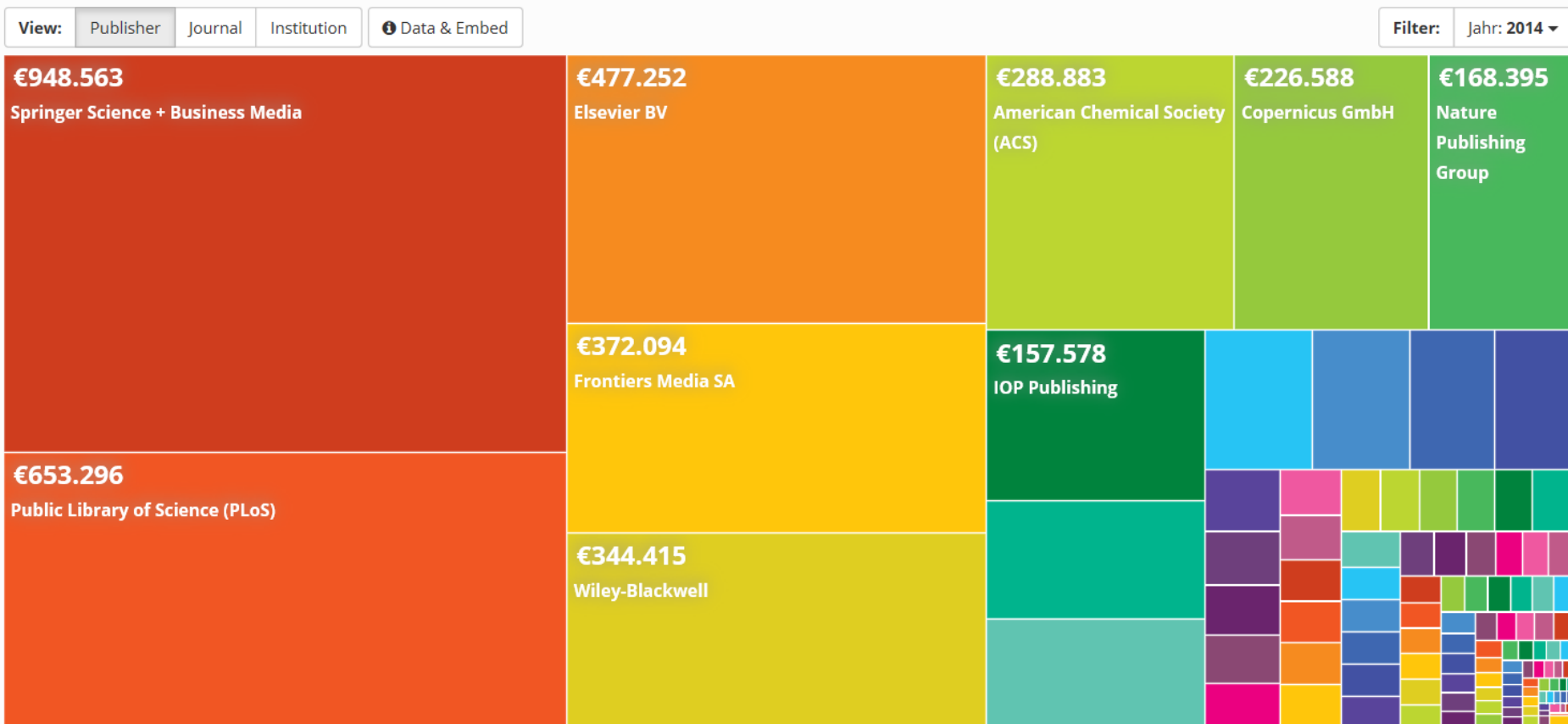


Efficiency and Standards for Article Charges

<http://esac-initiative.org/offsetting>

- Agreement matrix
- Joint Understanding of Offsetting (Mars 2016)
- Recommendations for Article Workflows and Services (March 2017)

# OPENAPC



<http://treemaps.intact-project.org/>

# Swedish Experience: Open APC Sweden

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- Release datasets on fees paid for open access articles by Swedish HEI sector under an open source license
- Establish workflows for a transparent and efficient handling of APCs
- Demonstrate how reporting on fee-based open access publishing can be made more transparent and reproducible across institutions
- Facilitate open access analytics, e.g. open access funding, time of payment, paying agency
- Establish a valid empirical foundation which can only be realized by standardized reporting on APCs
- Learn about the market for APCs and the development of both gold open access journals and hybrid journals
- Model different APC offsetting schemes which have been developed for negotiations with publishers



Cooperation

# Global Market Requires International Cooperation

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- OA2020
  - Initiative for the large-scale transition to open access
- EUA
  - European University Association's High Level Group on Big Deals
- LIBER
  - Working Group dedicated to Open Access
- ICOLC
  - International Coalition of Library Consortia



# Supports Other Open Access Initiatives

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# Key Challenges

# Key Challenges

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- Get a national overview of the total costs of publication
- Infrastructure and administration of APCs
- Formulate clear strategy and get support on University level to be successful in negotiation with publishers
- Clear open access mandates from all research funders
- Communication with the researchers
- Give incentives for open access-publishing, change the merit system and research assessment and allocation system

Open Access is on the horizon





Thank you!

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