

# **Sharing the costs of transition from Closed to Open:** *the quest for a fair cost allocation model in Austria*

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# Are you...

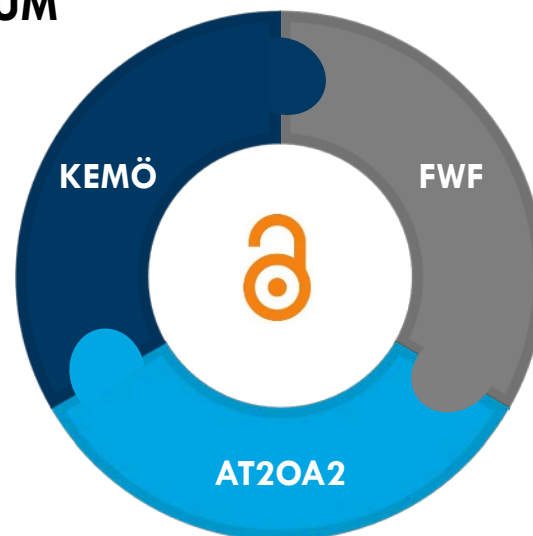
- a. A librarian or other higher education staff?
- b. Representing a Publisher?
- c. An intermediary / agent?
- d. A Researcher?



# Key Players in Austria

## AUSTRIAN ACADEMIC LIBRARY CONSORTIUM

- Launched in 2005
- 60+ members: public and private HEIs, Austrian Science Fund, Austrian Academy of Sciences, research institutes
- Bottom-up organisation
- Negotiations and licensing
- Since 2015: focus on OA agreements



## AUSTRIAN SCIENCE FUND (FWF)

- The Austrian Science Fund (FWF) is Austria's central funding organization for basic research.
- OA Policy since 2004, OA Mandate since 2007
- Funding member of cOAlition S



## AUSTRIAN TRANSITION TO OPEN ACCESS PROJECT

- 2017-2020, 2021-2024
- 24 universities and research institutes
- Analysis
- Networking
- Funding for OA agreements



# Milestones in OA in



First FWF OA policy

1st OA agreement: IOP

Further agreements

FWF

IOPscience

AT 2 OA

AT 2 OA

2004

2005

2014

2016

2017

2018

2021

2022



Springer

Plan S

Consortium established

Springer Compact

17 consortial agreements:  
TA and fully OA

# OA Agreements in 2022: consortial and local deals

## Fully OA Deals



## Offsetting Deals

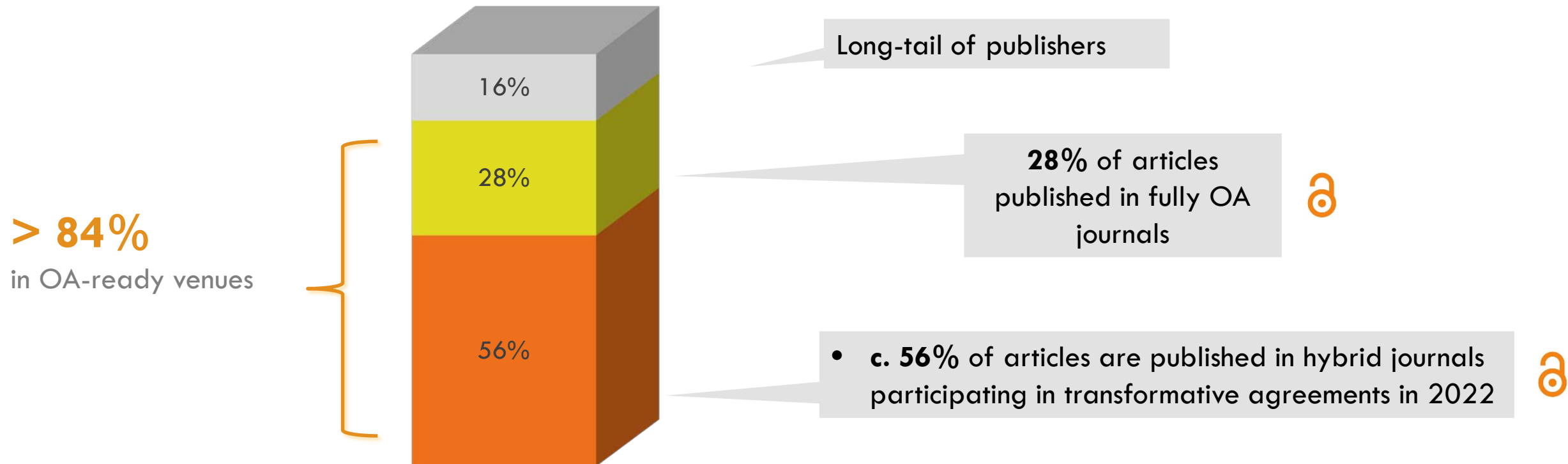


## Read & Publish Agreements



## Local OA agreements @ Uni Wien

# OA Coverage in 2022 among AT2OA participants



# Challenges: Impact analysis of the transition to OA

## Challenge 1: DATA

Accurate data on publishing output required for OA deals:

- Negotiations
- Planning
- Cost-sharing
- Data received from publishers: suboptimal



**AT2OA dataset**



## Challenge 2: MONEY

- Is there **enough money** in the system in Austria if we were to flip to pay-as-you publish?
- How would a **full transition to OA** affect a given **institution's budget**?



**AT2OA Post-transition study**

- Inspired by the Max Planck white paper\*
- Building on the AT2OA dataset and
- Financial information



# AT2OA Post-Transition Study

Bruno Bauer, Daniel Formanek, and Lothar Hölbling,  
AT2OA Nachtransition-Studie, (Wien, 2021), <https://doi.org/10.5281/zenodo.4629848>



# AT2OA Dataset 2015-2020

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## Affiliation:

one or more authors affiliated with an AT2OA institution



## Document types:

- articles (research articles)
- review papers
- Other documents

## Web of Science™

Scopus

## Dataset enriched with data from:



# AT2OA Post-Transition Study

## Publishing data:

Subset of the **2018** AT2OA dataset, looking at the cost-relevant publications:

1. Affiliation: one or more **corresponding authors** with an AT2OA affiliation
2. Document type: **article** or **review paper**



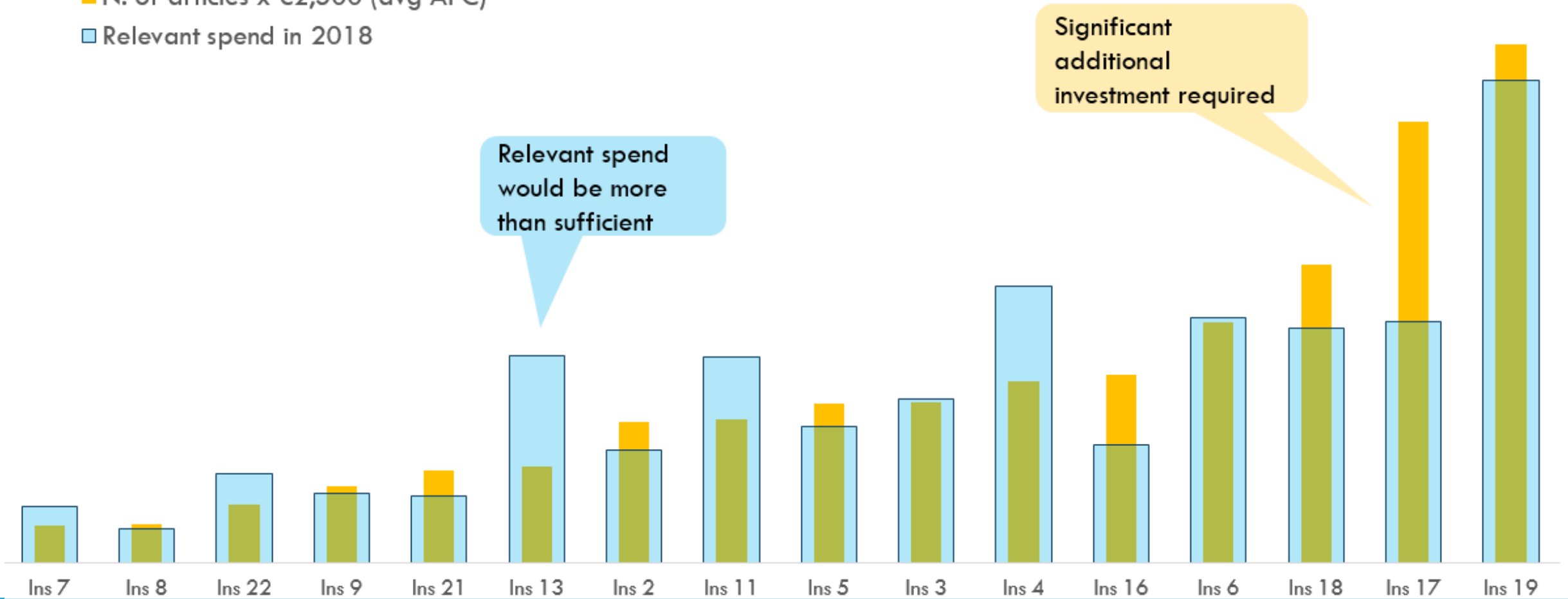
## Cost element – same year (2018):

1. Institutions' electronic and print journal subscription fees
2. institutional OA spend, including APCs currently paid through the libraries
3. APCs paid by the Austrian Science Fund on behalf of its grant holders

# So, is there enough money in the system in Austria?

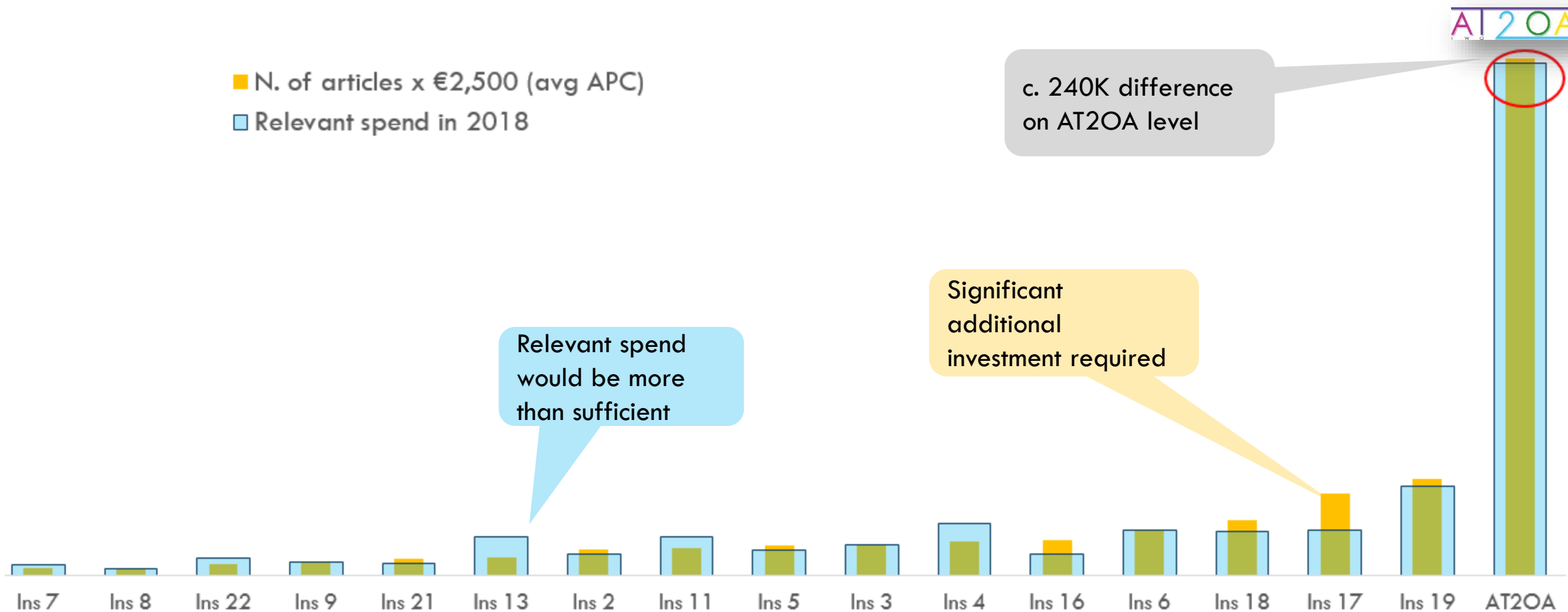
## I. Institutional level

- N. of articles x €2,500 (avg APC)
- Relevant spend in 2018



# So, is there enough money in the system in Austria?

## II. AT2OA-level

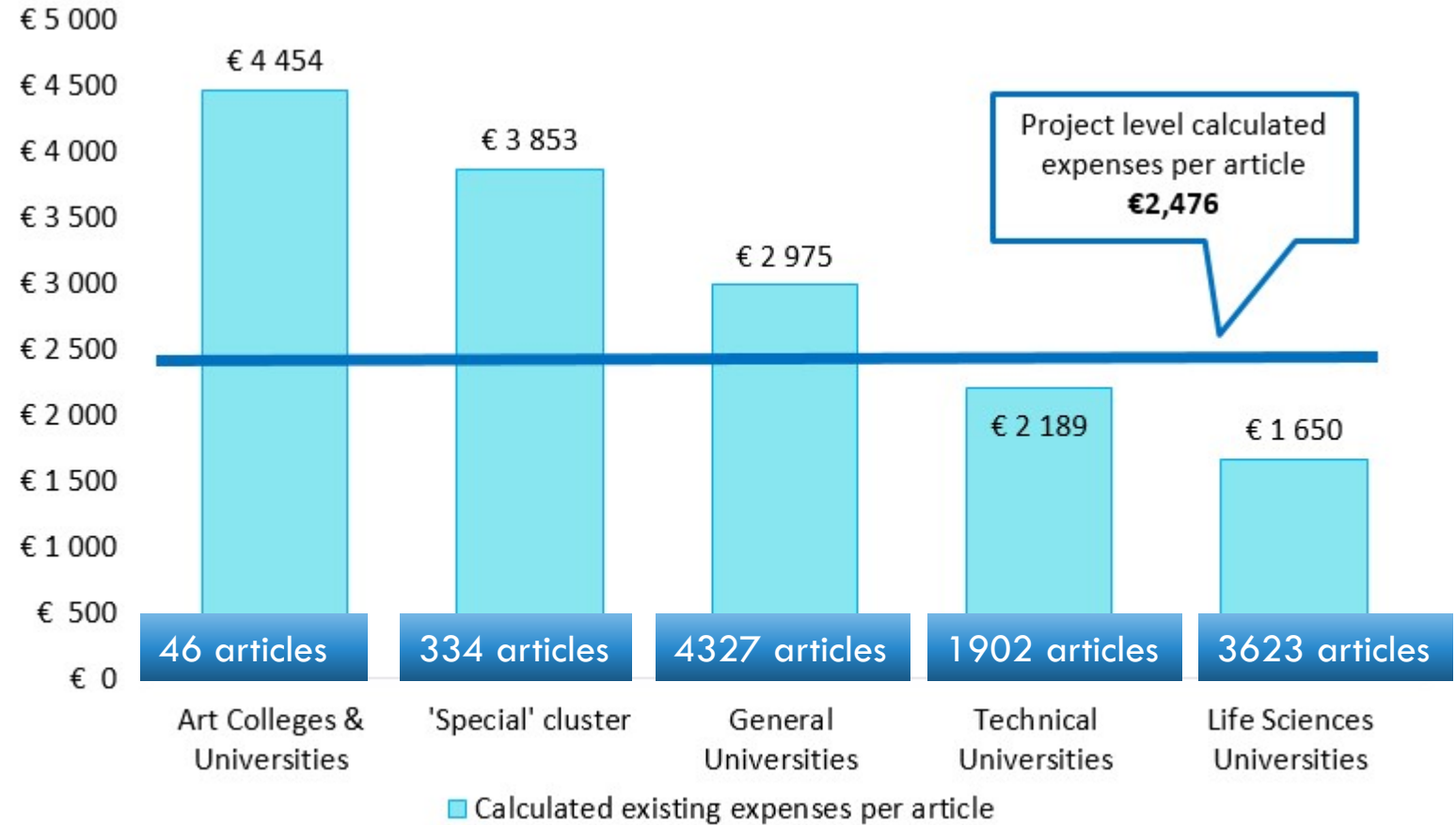


# Uneven distribution across sectors

This chart looks at the data from another angle:

**Calculated existing spend per article, for each sector**

i.e.: what kind of APC would these institutions be able to afford



# 1st cost-distribution model

# SpringerLink: the pre-compact times

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- ⌘ Legacy pricing: based on previous print and e-sub holdings
- ⌘ Publisher-led pricing
- ⌘ No tiers or bands introduced by the Consortium

# Springer Compact 2016 - 2018

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Our first „read and publish agreement“

- ③ First transformative agreement with a large publisher



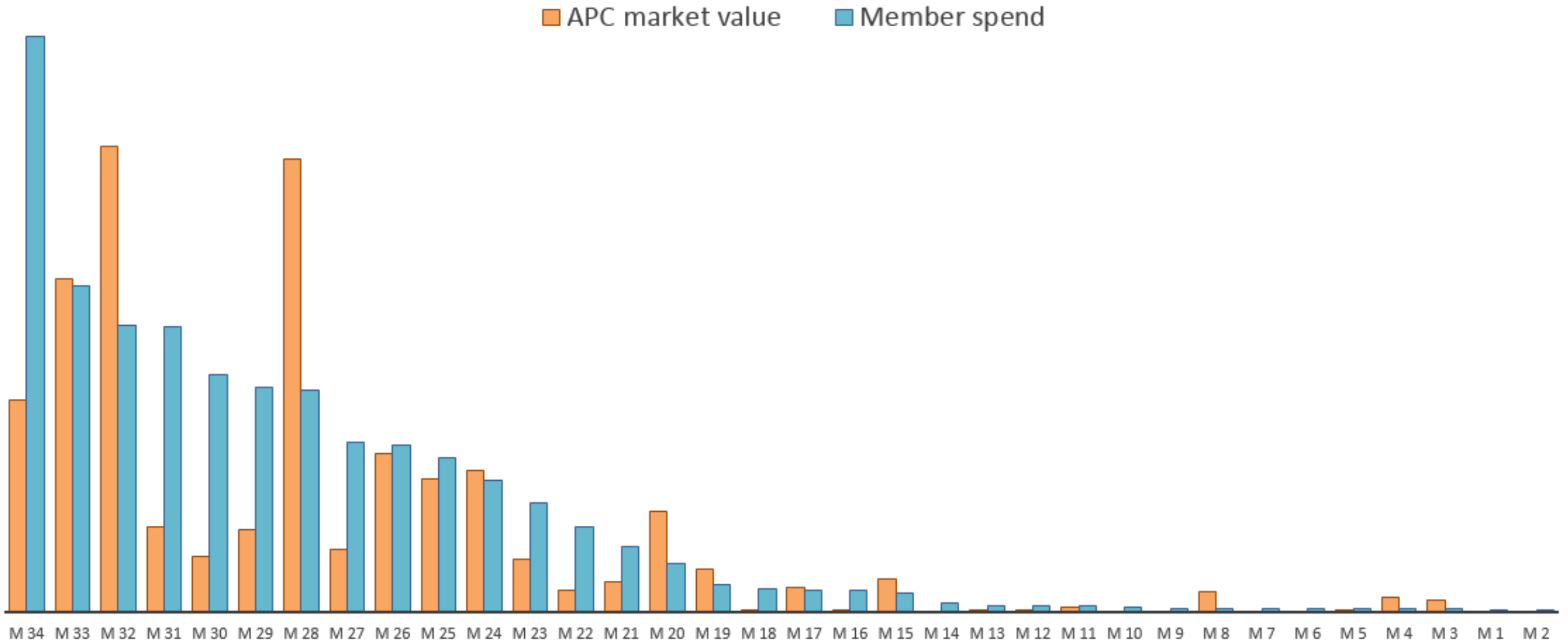
**Lump sum = set number of articles + reading**

- ③ On a consortium level. APCs on a first-come first-served basis.
- ③ Cost allocation: based on previous spend
- ③ Working group set up to **assess and monitor** the Agreement





# Analysis: members spend vs APC value in 2016-2018



# Springer Compact\* 2019-2021 – new cost distribution model

## Basis for the model

- Uneven patterns - data gathered for model:
  - ✓ 2016-2018 publishing patterns used a basis
  - ✓ Market value of APCs vs subscription spend
  - ✓ Gradual move towards a more publishing-output based model



FWF

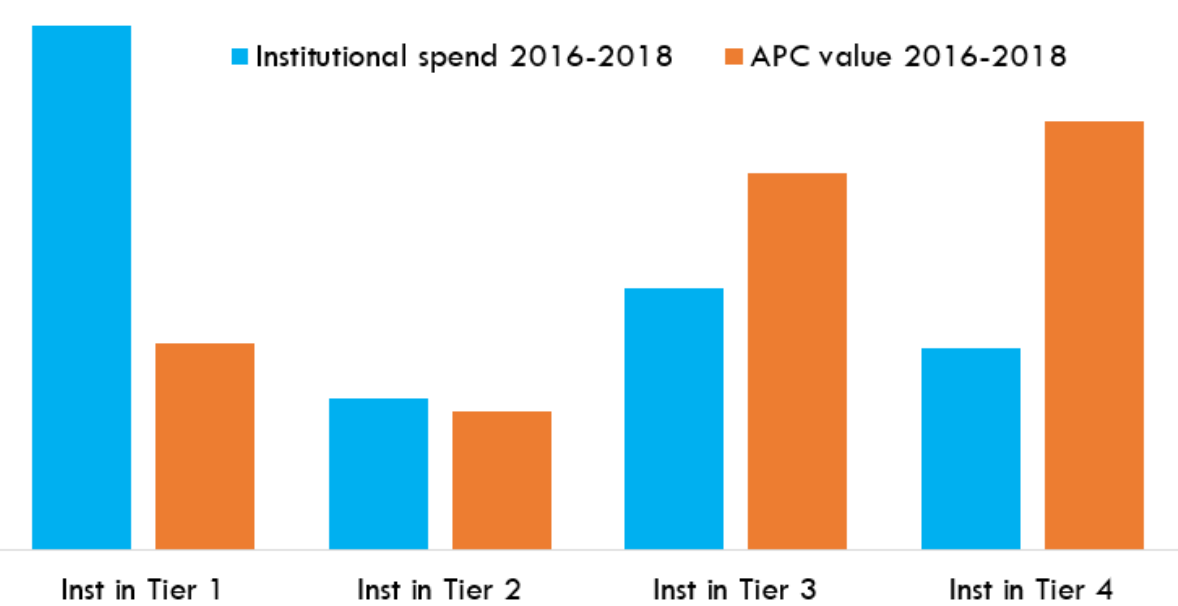


## Tiers 1 to 4

- Each institution assigned to a Tier
- Different annual increases applied to each Tier
- Lowest in Tier 1, highest in Tier 4
- **Increase must remain under 10% per annum**
- Reason: must be a **gradual change**

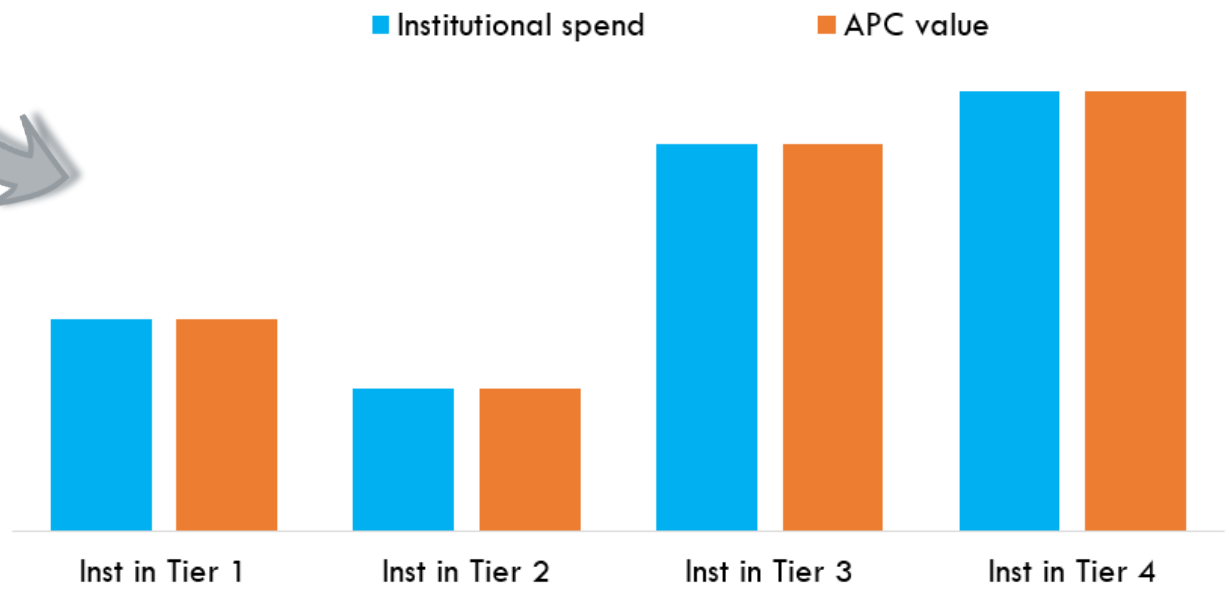
\*Also rolled out for the 2<sup>nd</sup> cycle of the Wiley agreement

# Aim: gradual move towards a publishing output-based model over time



2016-2018 – an example for each Tier

This is what the future should look like



# Tiering model – critical assessment

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(-) Arbitrary (based on consensus)

(-) IF increase **capped at 10%**, then it is **not transformative** enough

(+) Flexible – tiers can be adjusted

(+) Transparent (for the members)

## What would **YOU** take into account when creating a cost-sharing model?

Please select **up to two** options:

- a) Historic subscriptions
- b) APCs
- c) Usage data
- d) FTEs
- e) Institution's overall income („ability to pay“)



# Where are we now?

# OA Cost-Sharing Models Working Group

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**Why? We already have a cost-sharing model...**

**However...**

- So far only **previous spend + publishing output** considered
- Should we include **other parameters**?
- No “one-size-fits-all” solution: We need flexible solutions
  - For various business models: currently very wide range
  - Meet local needs



**Develop a toolkit** for the consortium:  
Ability to apply the most appropriate model

# What are other consortia doing?

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Publishing  
output

Type of  
institution

Historic  
spend

Various  
FTEs

Ability to  
pay

COUNTER  
statistics

Disciplines

## Weights given to various factors

- 33% - 33% - 33%
- 50% - 50%
- depending on the contract
- various combinations considered
- etc...





# Our shortlist for testing: 3 models

a variation on the „**Smooth Transition**“ model, developed by Nina Schönfelder @ Bielefeld University. It combines:

- The share of OA content within the publisher's global content
  - The institution's publishing output
  - APCs
- +
- The institution's historic spend

**Tiering model:** (as used for our Springer and Wiley contracts): based on the ratio between

- existing expenses vs APC value
- different price increases for each Tier

**„the one third model“**

- 1/3 of fees based on FTEs,
- 1/3 on historic spend
- 1/3 on publishing output

# Challenges for Library Consortia

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- **Increases difficult** for institutions
- We need to find **viable solutions**: keep everyone on board
- **Timing**: shift towards publishing-based models happening at different time points
- Important that consortium can share costs as they see fit

## **Publishers continue to double dip:**

expect to increase their income, regardless of the publishing output of a country

# Wider, global issues



**More international cooperation** needed: countries should join forces

## Balancing act:

- Publishers' income expectations
- Money in the system on a national / EU / global level



Opportunity: use **EU's negotiating** power

What do you think is the most important factor driving the transition to a fully OA world?

- a. Researchers' wish for greater visibility
- b. Publishers' wish for more money
- c. Society's wish for access to research results



## Who will benefit the most from a fully OA publishing system?

- a. Publishers
- b. Higher education sector
- c. Society in general



# Questions - discussion



# Further reading

Bauer, Bruno, Formanek, Daniel, & Hölbling, Lothar. (2021). AT2OA Nachtransition-Studie. Zenodo.  
DOI: 10.5281/zenodo.4629848

Pinhasi, Rita, Lothar Hölbling, and Brigitte Kromp. 2021. "Austrian Transition to Open Access: A Collaborative Approach". *Insights* 34 (1): 25.  
DOI: 10.1629/uksg.561

Schönfelder, Nina. *Proposal for a new model of transformative agreements: A smooth transition from subscriptions to APCs*. 2020.  
DOI: 10.4119/unibi/2939995

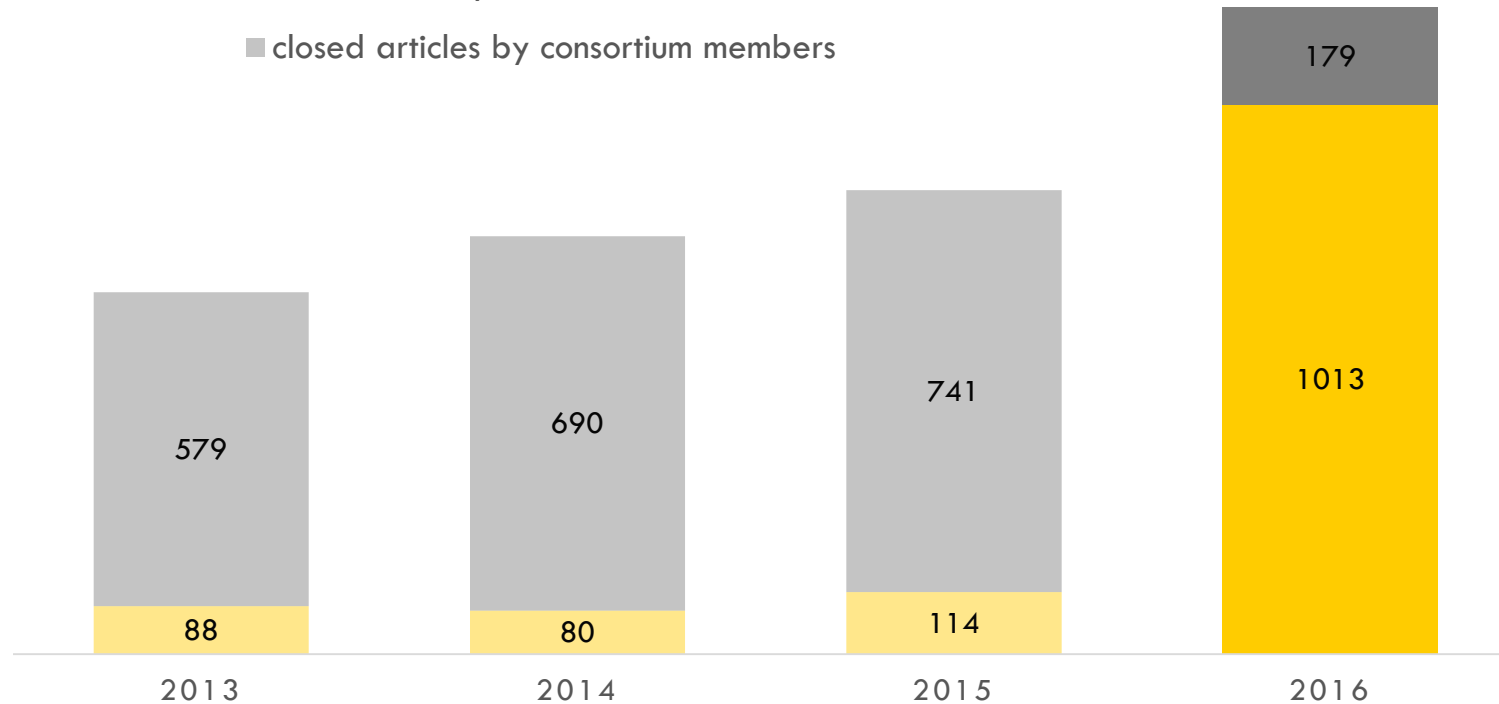
# Impact of OA Agreements

OA Articles 2013-2016 with Springer



- OA Articles by consortium members
- closed articles by consortium members

First year of R&P agreement





### University of Vienna -APC value vs actual paid to publisher

