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Workshop Programme

Challenging the Current Business Models in Academic Publishing

Accelerators and Obstacles to the Open Access Transition

organised in collaboration with EUA and LIBER

When Background

26–27 April 2017

Wednesday 12.00–17.45

Thursday 09.00–13.10

“Ensure that [...] transparency is improved, in particular by informing the public about agreements between public institutions or groups of public institutions and publishers for the supply of scientific information. This should include agreements covering the so-called ‘big deals’, i.e. bundles of print and electronic journal subscriptions offered at discounted price...”

—European Commission, 17 July 2012

Where

Radisson Blu Astrid

Koningin Astridplein 7

2018 Antwerp, Belgium

Bundles of journals offered by publishers and acquired by libraries, the so-called ‘Big Deals’, are the dominating business model in academic publishing. They were introduced to answer the so-called serials crisis which occurred in the subscription model about two decades ago. Nowadays, the logic and also the business structures behind ‘Big Deals’ are increasingly considered and employed to shape the transition from the subscription world into an open access publishing paradigm based on article processing charges (APCs).

Dinner

Grand Café De Rooden Hoed

Oude Koornmarkt 25

2000 Antwerp, Belgium

‘Big Deals’ have advantages, yet also severe disadvantages, and thus are a highly disputed business model. This leads to the question if and what disadvantages of the ‘Big Deals’ need to be taken into account when using them as a transition instrument to implement and increase open access and how such disadvantages could be avoided or mitigated.

Undoubtedly, the opinions are deeply divided on the Big Deals issue.

Pros

Some publishers, librarians and researchers regard the ‘Big Deals’ as the solution of the serial crisis. This crisis was characterised by a cost increase for academic journals, followed by cancellations of journal subscriptions. Moreover, publishers enforced high prices on the remaining journals to maintain their revenues. This led to even more journal cancellations.

Bundling journals into packages and licensing them under specific terms allowed publishers stable purchases, extended access to information to researchers (including journals from highly specialised fields of research that could rarely survive outside of journal bundles) and enabled librarians to plan their future spending given fixed caps for future price increases. This at least limited the ‘cost spiral’.

Cons

Others argue that ‘Big Deals’ have triggered a lot of unintended and wasteful consequences:

- The Big Deals have created lock-in effects where a significant share of the library budget is assigned for a small group of major publishers and the margin for smaller and new providers is decreasing.



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This enhances the financial scope of some publishers to acquire competitors and strengthens their market position. An ongoing market concentration is the consequence (see Larivière et al, 2015) where libraries have no choice but to extend the 'Big Deals' and to accept price increases dictated by some large publishing houses. If the market trend of the last years continues, then in the next ten years two or three commercial giants will exploit not only publications but the entire academic workflow.

- This process is enforced by a non-disclosure clause that is often included in the contracts of 'Big Deals'. Due to the opacity of prices, recent studies could not find a correlation between the price paid for the 'Big Deals' and the characteristics of institutions (e.g. size, budget): "Some institutions have been quite successful in bargaining for lower prices, whereas others may not have been aware that better bargains can be reached. Perhaps this variation explains publishers' desire to keep contract terms confidential" (Bergstrom et al, 2015).
- Big Deals forced libraries to spend their acquisition budget increasingly for journals. Consequently, only little money was left to purchase monographs – and especially the Humanities and Social Sciences suffered from this situation. It may well be the case that the advent of the e-book and recent trends to sell them also in large bundles will once again led to increasing financial pressure on acquisition budgets.
- With the 'Big Deals', publishers sell a significantly high number of journals to libraries which are rarely or never used by scholars, neither as readers nor as authors.
- The recent study 'Pay It Forward' by the University of California Libraries claims for a cost-effective Open Access transition: "author-controlled discretionary funds that incentivize authors to act as informed consumers of publishing services are necessary to introduce both real competition and pricing pressures into the journal publishing system." If that is correct, the 'Big Deals' would be the main preventer to achieve that mechanism.

Aim of the Workshop

The aim of the workshop is to trigger expert-level discussions on:

1. Which characteristics/features of current licensing practices, in particular 'big deals', are likely to accelerate or hinder the transition to open access? How to address the potential hindering issues to support a transition via licensing? Are bundled licenses a tool or an obstacle for the transition to open access?
2. What other models help accelerate the transition?

Background Literature

- Poynder (2011): [The Big Deal: Not Price But Cost](#)
- Haank (2011): [Not Looking for Sympathy](#)
- Kenneth Frazier (2001): [Contemplating the Costs of the "Big Deal"](#)
- Bergstrom et al (2015): [Evaluating big deal journal bundles](#)
- Larivière et al (2015): [The Oligopoly of Academic Publishers in the Digital Era](#)
- University of California Libraries (2016): [Pay It Forward. Investigating a Sustainable Model of Open Access Article Processing Charges for Large North American Research Institutions](#)
- Neylon (2016): [Goods in the Scholarly Market Place](#)
- Neylon: [Squaring Circles](#)
- Neylon et al. (2016): [A Journal is a Club: A New Economic Model for Scholarly Publishing](#)
- Schimmer et al. (2015): [Disrupting the subscription journals' business model for the necessary large-scale transformation to open access. A Max Planck Digital Library Open Access Policy White Paper](#)

Programme

Wednesday 26 April 2017

Radisson Blu Astrid, Antwerp

- 12.00–13.30 Registration and Lunch
- 13.30–13.40 Welcome
Georg Botz, Max Planck Society, Germany
- 13.40–14.20 Keynote Speech: 'Watching Your Cards in the Big Deal'
Ted Bergstrom, University of California, Santa Barbara
- Questions & Answers

Session 1 Setting the Scene

Moderator: **Kristiina Hormia-Poutanen**, President of LIBER and Director of NLF

Which characteristics/features of current licensing practices, in particular 'big deals', are likely to accelerate or hinder the transition to open access? How to address the potential hindering issues to support a transition via licensing? Are bundled licenses a tool or an obstacle for the transition to open access?

- 14.20–16.00 Expert Presentations
- The Perspective from 'Big Deals' Negotiators
- **Robert van der Vooren**, VSNU
 - **Liam Earney**, JISC

Coffee Break (15.00-15.20)

The Perspective from Community-based Publishers

- **Emma Wilson**, Royal Society of Chemistry

The Perspective from Open Access Publishers

- **Xenia van Edig**, Copernicus

- 16.00–17.30 Panel Discussion with Experts and Audience
- 17.30–17.45 Wrap-up
Kristiina Hormia-Poutanen

19.45 Dinner

Grand Café De Rooden Hoed, Oude Koornmarkt 25, 2000 Antwerp

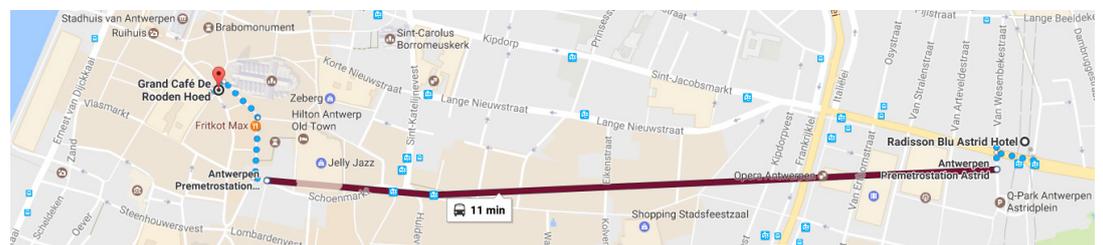
Grand Café De Rooden Hoed is located in the historical city center of Antwerp, next to the Cathedral of Our Lady Antwerp. It is a 20-minute walk from the Radisson Blu Astrid, but can also be easily reached by tram or premetro, both of which have stations very close to the hotel.

Premetro

Line 5 (towards Linkeroever) or Line 3 (towards Zwijndrecht): Station Astrid – Station Groenplaats (2nd stop). From there, it is a 3-minute walk to the restaurant.

Tram

Line 11 (towards Melkmarkt): Station Antwerp Central – Station Melkmarkt (4th stop). From there, it is a 4-minute walk to the restaurant.



<https://goo.gl/maps/eTRujmc8S3k>

Thursday 27 April 2017

Radisson Blu Astrid, Antwerp

08.45–09.00 **Welcome and Coffee**

09.00–09.40 Keynote Speech 'Interpreting the Shadows on the Elephant in the Room – Why Economics Analogies Are So Bad for Planning Scholarly Communications'

Cameron Neylon, Curtin University

Questions & Answers

Session 2 **Future Outlook**

Moderator: **Inge Van Nieuwerburgh**, Co-ordinator Scholarly Communications, Ghent University, Belgium

What other models help accelerate the transition?

09.40–11.20 Expert Presentations

'Funder driven publishing platforms'

■ **Hannah Hope**, Wellcome Trust

'Knowledge Unlatched: Making Open Access work in the Humanities and Social Sciences'

■ **Max Mosterd**, Knowledge Unlatched

Coffee Break (10.20-10.40)

'A Transition to Fair Open Access: LingOA, MathOA, PsychOA and the Open Library of Humanities'

■ **Saskia C.J. de Vries**, Open Library of Humanities and LinguOA

'Open Access and Beyond: SciPost'

■ **Jean-Sébastien Caux**, SciPost

11.20–12.40 Panel Discussion with Experts and Audience

12.40–12.50 Wrap-up

Inge Van Nieuwerburgh

12.50–13.10 Conclusion

Jos Engelen, Former Chairman of the Netherlands Organisation for Scientific Research (NWO)

13.10 **End of Workshop**

List of Participants

Name	Organisation	Acronym	Country
Anaya-Carlsson, Karla	Analyst at the Swedish Research Council for Environment, Agricultural Science and Spatial Planning	FORMAS	Sweden
Anglada i de Ferrer, Lluís	Director Open Science at the <i>Consorci de Serveis Universitaris de Catalunya</i>	CSUC	Spain
Ayris, Paul	Co-chair INFO Community at the League of European Research Universities	LERU	—
Bauer, Julian	Policy and Project Officer at the European University Association	EUA	—
Bauin, Serge	Special Adviser Open Science at the National Centre for Scientific Research	CNRS	France
Bergstrom, Ted	Professor of Economics at the University of California Santa Barbara	UCSB	United States
Bjørnshauge, Lars	Consultant at SPARC, Managing Director of the Directory of Open Access Journals Netherlands	SPARC,	The Netherlands
Botz, Georg	Senior Policy Advisor Open Access at the Max Planck Society	MPG	Germany
Caux, Jean-Sébastien	Chairman of the SciPost Foundation	SciPost	The Netherlands
Clement-Stoneham, Geraldine	Knowledge and Information Manager at the Medical Research Council	MRC	United Kingdom
Duchange, Nathalie	Researcher at the French National Institute of Health and Medical Research	Inserm	France
Earney, Liam	Director of Jisc Collections, Joint Information Systems Committee	JISC	United Kingdom
Edig, Xenia van	Business Development Manager at Copernicus	—	Germany
Engelen, Jos	Professor Emeritus at the University of Amsterdam, NIKHEF	UvA, NIKHEF	The Netherlands
Finance, Jean-Pierre	Chair of the European University Association Expert Group 'Science 2.0/ Open Science', and former President of the University of Lorraine, Nancy	EUA	—
Fonseca, Ines	Policy and Data Analyst at the Foundation for Science and Technology	FCT	Portugal
Geisenheyner, Sybille	Sales Manager Europe, Middle East, Africa and India at the Royal Society of Chemistry	RSC	United Kingdom
Hope, Hannah	Open Research Coordinator at the Wellcome Trust	—	United Kingdom
Hormia-Poutanen, Kristiina	Director of the National Library Network Services, National Library of Finland, President of LIBER	LIBER	Finland
Kalaïtzi, Vasso	EU Project Communications Officer at LIBER	LIBER	The Netherlands
Karlstrøm, Nina	Senior Adviser, Norwegian Consortium and Open Access Co-ordinator at CERES	CERES	Norway
Kissling-Näf, Ingrid	Head of Division Humanities and Social Sciences at the Swiss National Science Foundation	SNSF	Switzerland
Kita, Jean-Claude	Policy Officer at the Fund for Scientific Research	F.R.S.-FNRS	Belgium
Kuster, Stephan	Acting Director of Science Europe	SE	—
Lee, David	Secretary General of the European Physical Society	EPS	France
Lundén, Anna	Head of Department of the National Library of Sweden, Bibsam Consortium	KB/Bibsam	Sweden
Meyer, Dagmar	Policy Adviser at the European Research Council	ERC	—
Mosterd, Max	Operations Manager at Knowledge Unlatched	KU	—
Neylon, Cameron	Professor of Research Communications at the Centre for Culture and Technology, Curtin University	—	Australia
Pieper, Dirk	Deputy Director of Bielefeld University	UNIBI	Germany
Poeche, Alexander	Head of License Management at the German National Library of Science and Technology, Leibniz Association	TIB	Germany
Ponsati, Agnès	Director Unit of Information Resources for Research at the Spanish National Research Council	CSIC	Spain
Quattroni, Paola	Data Research Funding Manager at Cancer Research UK	CRUK	United Kingdom
Rieck, Katharina	Open Access Manager at the Austrian Science Fund	FWF	Austria
Roger-Dalbert, Isoline	Senior Policy Officer at Science Europe	SE	—
Roll, Claus	Publishing Editor at EDP Sciences	EDP	France
Rooryck, Johan	President of Linguistics in Open Access	LingOA	The Netherlands

Name	Organisation	Acronym	Country
Sacchi, Simone	Interim EU Project Manager and Open Science Officer at LIBER	LIBER	The Netherlands
Sijm, Dyveke	Licensing Team Coordinator at Denmarks Electronic Research Library	DEFF	Denmark
Simoneau, Anne	Sales and Marketing Manager at EDP Sciences	EDP	France
Solovej, Jan Philip	Vice Chair of the Board of the Danish Council for Independent Research	DFF	Denmark
Van Nieuwerburgh, Inge	Co-ordinator Scholarly Communications at Ghent University	UGent	Belgium
Vooren, Robert van der	Programme Manager Open Access at the Association of Universities in the Netherlands	VSNU	The Netherlands
Vries, Saskia C.J. de	Project Leader at Linguistics in Open Access/Open Library of Humanities	LingOA	The Netherlands
Waaijers, Leo	Quality Open Access Market	QOAM	The Netherlands
Weber, Michele	Programme Manager/Science Communicator at the National Research Fund	FNR	Luxembourg
Widmark, Wilhelm	Chair Advocacy and Communications Steering Committee at LIBER	LIBER	The Netherlands
Wilson, Emma	Director of Publishing at the Royal Society of Chemistry	RSC	United Kingdom

Speaker's Biographies



Georg Botz

Georg Botz studied physics in Bielefeld and Heidelberg and received his Ph.D. from Heidelberg University for a thesis in the field of theoretical particle physics in 1993.

After working in the publishing industry he joined the Administrative Headquarters of the Max Planck Society in 2004 where he is in charge of Open Access (OA) policy issues. His acquaintance with the topic goes back as far as 2002 when he, then a member of the Executive Board of the 'German Physical Society', was deeply involved in establishing the 'New Journal of Physics'. From the very beginning, Georg was involved, too, in the planning and the implementation of eLife, the OA journal founded by the Howard Hughes Medical Institute (USA), the Wellcome Trust (UK) and the Max Planck Society.

Starting back in 2004, Georg Botz was in charge of organising several 'Berlin Open Access' conferences and initiated the first OA conference for students and early career researchers which took place in Berlin in 2013.

Last, but not least, Georg Botz chairs the Open Access working groups of Science Europe and of the Alliance of German Research Organisations.



Ted Bergstrom

Ted Bergstrom grew up on a farm, a few miles north of Lake Wobegon, Minnesota.

He studied mathematics at Carleton college in Minnesota and did a PhD in economics at Stanford. He has been a professor at Washington University, St. Louis, University of Michigan, and University of California, Santa Barbara.

Among other topics, he has worked in economic theory, theory and measurement in public economics, health economics, the interface between evolutionary biology and economics, and the economics of publication.



Kristiina Hormia-Poutanen

Kristiina Hormia-Poutanen is the director of Library Network Services at the National Library of Finland (NLF). She has been the President of Liber since 2014 and she worked as the vice president during 2010–2014. She is a member of the steering committee on scholarly communication and research infrastructures under Liber.

She was a member of Europeana board and Europeana executive committee during 2010–2015. She is a member of the recently appointed Open Science Policy Platform of the European Commission.



Robert van der Vooren

Robert van der Vooren is an entrepreneurial, creative and positive thinker. In 2000 he competed at the Sydney Olympic Games. This experience convinced him to continue taking up grand challenges. As an advisor of the Executive Board he financially reorganised the Radboud University Medical Centre in 2008. It took courage to turn the hospital's impending bankruptcy.

Since 2015 Robert has been national programme manager on fostering Open Access publishing of scholarly articles for the Dutch universities association VSNU. He is responsible for the universities' policy on open access, the negotiations with publishers, strategic communication and international collaboration. Researchers worldwide are keeping track of the Dutch negotiations on Open Access.



Liam Earney

Liam Earney is Director of Jisc Collections, the unit of Jisc responsible for the licensing and negotiation of agreements for digital content on behalf of UK universities. Jisc Collections negotiated agreements covered approximately £108million of expenditure in 2015/16.

Liam has worked at Jisc since 2003, negotiating a wide variety of agreements for higher and further education as well as working with the NHS, museums and public libraries in the UK and overseas. In 2011 he was seconded to lead the development of HEFCE funded initiative, Knowledge Base+, bringing his knowledge of subscription agreements, licensing and negotiation to the e-resource management space.

Returning to Jisc Collections in 2013, Liam became closely involved in the ongoing evolution of Jisc Collections' approach to open access, in particular how it can best support the sector achieve its aims around pure gold, hybrid and green open access. He has a particular focus on ensuring the wider involvement of the sector in Jisc Collections' negotiations and that it adopts a rigorous evidence based approach to those negotiations.



Emma Wilson

Dr Emma Wilson MSRC is the Director of Publishing at the Royal Society of Chemistry. She has over 15 years' experience working in the scholarly publishing sector, and has worked for both commercial and not-for-profit publishers in a variety of editorial, business development and management roles, joining the Royal Society of Chemistry in 2006.

In her current role she has responsibility for editorial, product and policy development across the Royal Society of Chemistry's portfolio of journals, books, databases and magazines. This includes engaging with the chemistry community and other stakeholders to ensure that the Royal Society of Chemistry's publishing portfolio delivers against the Society's mission to advance excellence in the chemical sciences.



Xenia van Edig

Since the beginning of 2012, Xenia has been working in Business Development at Copernicus Publications. At Copernicus, she is responsible for the acquisition of new journals and the development of existing projects. Thereby, she is involved in Copernicus' media and communications activities and the indexing of the open-access journals. In addition, she is in charge of establishing institutional agreements regarding the central settlement of article processing charges (APCs) between various institutions and Copernicus. Xenia also represents Copernicus at various events throughout the year.

Since September 2015, she has been a member of the board of directors of the Open Access Scholarly Publishers Association (OASPA). The mission of OASPA is to support and represent the interests of open access journal and book publishers globally in all scientific, technical, and scholarly disciplines. Xenia chairs OASPA's membership committee.



Cameron Neylon

Cameron Neylon is Professor of Research Communication at the Centre for Culture and Technology at Curtin University and well known agitator for opening up the process of research. His current work focuses on how the cultures of research affect and effect change in research communications.

He speaks regularly on issues of Open Science including Open Access publication, Open Data, and Open Source as well as the wider technical and social issues of applying the opportunities the internet brings to the practice of science. He was named as a SPARC Innovator in July 2010 for work on the Panton Principles and was a co-author of the Altmetrics manifesto and the Principles for Open Scholarly Infrastructures. He is a proud recipient of the Blue Obelisk for contributions to open data. He writes regularly at his blog, Science in the Open.



Hannah Hope

Hannah Hope, is the Open Research Co-ordinator at Wellcome. Based within the Open Research team, Hannah's work focuses on the implementation of Wellcome's open access policy including publisher relations and monitoring compliance with the policy. Hannah also acts as a project manager for Europe PMC, providing the secretariat for funders.

She is also involved in work on a range of new open research initiatives that form part of a Open Research Roadmap that Wellcome will be delivering over the coming years. Prior to Wellcome, Hannah worked for a learned society as a publisher and science communicator.



Max Mosterd

Max is passionate about making science and education more accessible to the wider public. To this end, he has founded a startup, published on bibliometrics, and written his Master thesis on the pricing of scholarly content. He graduated from Erasmus University Rotterdam, having studied Business & Economics before at the Harvard University Summer School and Utrecht University.

He is currently managing the operations at Knowledge Unlatched, which is envisioning free access to scholarly content for every reader across the world.



Saskia C.J. de Vries

Drs. Saskia C.J. de Vries was the first director of Amsterdam University Press (nl.aup.nl) from 1992 to 2012 and founder of Leiden University Press in 2006. Amsterdam University Press was coordinator of the EU project Open Access Publishing in European Networks, that resulted in the OAPEN library (www.oapen.org).

She started her own business in 2012, Sampan – academia & publishing (www.sampan.eu) and since then works on various (open access) publishing projects in academia, exploring new ways of disseminating academic research results – for example with the Royal Netherlands Academy of Arts and Sciences, the National Library of the Netherlands, SURF-foundation, NWO, the Centre of Science and Technology (CWTS) and university libraries in and outside the Netherlands.

In 2016 she became project leader of Linguistics in Open Access that flips existing journals to Fair Open Access. She is one of the founders of the Quality Open Access Market (www.qoam.eu) and she is also involved in the Post FP7 gold open access pilot in OpenAIRE (www.openaire.eu/postgrantoapilot). Since 2016, she is the European Library Partnerships Manager of the Open Library of Humanities.



Jean-Sébastien Caux

Jean-Sébastien Caux is Professor of Low-Dimensional Quantum Condensed Matter at the University of Amsterdam. His work focuses on applying advanced, nonperturbative theoretical methods to translate state-of-the-art mathematical concepts into concrete physical predictions for strongly-correlated systems in the fields of magnetism, cold atoms and quantum nanostructures.

After undergraduate studies in Montréal, he moved to Oxford as a Rhodes Scholar and obtained his doctorate in 1998. Following a postdoc at the University of British Columbia in Vancouver, he returned to Oxford as Postdoctoral Fellow in All Souls College, finally landing in Amsterdam in 2003. He is the recipient of (among others) the NWO Vici and ERC Advanced grants.

Professor Caux is a strong believer in openness in scientific publishing. He is the founder of SciPost, a non-profit foundation whose mission is to provide publishing solutions serving the best interests of science and scientists, and which runs the SciPost.org two-way open access publication portal.



Jos Engelen

Jos Engelen studied Physics at Nijmegen University (currently Radboud University Nijmegen). After obtaining his PhD in experimental high energy physics, he worked at CERN from 1979 to 1985, after which he joined Nikhef, the Dutch National Institute for Subatomic Physics and became a Full Professor in Physics at the University of Amsterdam in 1987.

He was the Director of Nikhef from 2001–2003 and Chief Scientific Officer and Deputy Director-General of CERN from 2004–2008. From 2009–2016 he was the President of the Governing Board of the Netherlands Organisation for Scientific Research (NWO), and was also on the Science Europe Governing Board from 2015–2017. He has also been a member of various national international scientific committees and councils, and is Editor-in-Chief of Europhysics Journal C. He is currently Professor emeritus at the Faculty of Science of the University of Amsterdam and Nikhef.