Open Access 2020 Initiative
OA2020 Network Progress Update – Q2 2018

9 July 2018
Reporting today:

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https://oa2020.org

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US OA2020 Signatory institutions
https://oa2020.us

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German OA2020 National Contact Point
https://oa2020-de.org
We aim to transform a majority of today’s scholarly journals from subscription to OA publishing in accordance with community-specific publication preferences.

We will pursue this transformation process by converting resources currently spent on journal subscriptions into funds to support sustainable OA business models.
## OA2020 Strategy

<table>
<thead>
<tr>
<th>Project Phases</th>
<th>Strategic Objectives</th>
<th>Key Performance Indicators (KPIs)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gain consensus</td>
<td>▪ Raise awareness of the Open Access 2020 Initiative</td>
<td>▪ Increase in number of signatories of the Expression of Interest</td>
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<tr>
<td>Build capacity</td>
<td>▪ Enable institutions to take individual action toward the goals of OA2020</td>
<td>▪ Local data analyses, roadmaps, actions</td>
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<tr>
<td>Take action</td>
<td>▪ Motivate and synchronize a critical mass of organizations and institutions strategic to OA2020 goals in collective action</td>
<td>▪ Cross-institutional, regional and global concerted actions</td>
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## OA2020 Tactics

<table>
<thead>
<tr>
<th>Project Phases</th>
<th>Tactics</th>
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<tbody>
<tr>
<td>Gain consensus</td>
<td>- Present OA2020 at international conferences</td>
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<td>- Meet with strategic institutions and organizations</td>
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<td>- Campaign among top research-intensive institutions globally</td>
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<td>- Cultivate partnerships with other open access initiatives</td>
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<td></td>
<td>- Develop OA2020 National Contact Point network for local multiplier effect</td>
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<td></td>
<td>- Engage all stakeholder communities: funders, national research councils, university presidents, researchers, libraries, etc.</td>
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<td></td>
<td>- Contribute to the literature</td>
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<tr>
<td>Build capacity</td>
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<tr>
<td>Take action</td>
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## OA2020 - Tactics

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<thead>
<tr>
<th>Project Phases</th>
<th>Tactics</th>
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<tbody>
<tr>
<td>Gain Consensus</td>
<td><strong>OA2020 Transformation Workshops to develop knowledge and skills related to:</strong></td>
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<tr>
<td></td>
<td>- Current open access landscape and how OA2020 is an essential part of a comprehensive OA strategy</td>
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<td></td>
<td>- The relevance of OA publishing and the economic grounding for OA2020</td>
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<tr>
<td>Build Capacity</td>
<td>- Components of a roadmap to open access and strategies to divest of subscriptions and invest in open access</td>
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<tr>
<td>Take action</td>
<td>- New criteria to assess value and publisher negotiation tactics</td>
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<td></td>
<td>- Overview of transformative agreements (ie offsetting, publish and read, etc.) and open access workflow efficiencies (fund and agreement management)</td>
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</table>
## OA2020 - Tactics

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</table>
| Gain consensus | Foster inter-institutional and consortium-level actions  
Support national-level license negotiations (ie Projekt DEAL, etc.)  
Seek cross-border strategy alignment (LIBER, EUA, ACRL, etc.)  
Cultivate partnerships with other initiatives (SPARC-Europe, etc.) |
| Build capacity | 14th Berlin Open Access Conference |
| Take action    |         |
Strategic objective 1
Raise awareness of the OA2020 Initiative

2018 Q2 Invited Presentations at International Conferences

UK – UKSG Annual Conference, Opening Plenary
Korea – KESLI Online Information Forum
Russia – Association of Science Editors and Publishers Conference
Italy – Open Science Forum
Sweden – License and Open Access Keynote
Greece – OPERAS Conference
USA – American Libraries Live webcast
UK – LIBERUM
Strategic objective 1
KPI – Increase signatories of the Expression of Interest

2018 Q2 - 3 new signatories from 2 countries

<table>
<thead>
<tr>
<th>ORGANIZATION</th>
<th>COUNTRIES AND REGIONS</th>
<th>DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Royal Danish Library</td>
<td>Denmark</td>
<td>2018-06-26</td>
</tr>
<tr>
<td>Hellenic Academic Libraries Link</td>
<td>Greece</td>
<td>2018-06-08</td>
</tr>
<tr>
<td>Institute of Mediterranean Forest Ecosystems</td>
<td>Greece</td>
<td>2018-04-02</td>
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Signatory count at end Q2 2018

<table>
<thead>
<tr>
<th>Continent</th>
<th>Countries</th>
<th>EoIs</th>
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<tbody>
<tr>
<td>Africa</td>
<td>3</td>
<td>4</td>
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<tr>
<td>Americas</td>
<td>3</td>
<td>12</td>
</tr>
<tr>
<td>Asia</td>
<td>6</td>
<td>13</td>
</tr>
<tr>
<td>Europe</td>
<td>22</td>
<td>80</td>
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<tr>
<td></td>
<td><strong>34</strong></td>
<td><strong>109</strong></td>
</tr>
</tbody>
</table>
Strategic objective 2
Enable institutions to take individual action

OA2020 Resources

OA2020 Executive Summary PDF
OA2020 Expression of Interest Form for Signature.pdf
OA2020 Letter to Administration Template.pdf
List of Institutions who have endorsed the OA2020 Initiative
Sample MPDL Gold OA Publisher Service Level Agreement DOCX

OA2020 Presentations

OA2020 Conceptual Framework PDF

Gain insight
Promote OA2020
Keep connected
FAQ
Expression of Interest
List of Signatories
13th Berlin Open Access Conference

How OA2020 alters the publishing industry’s balance of power: Strengthening the market’s competitive forces PDF

Strategic objective 2
Enable institutions to take individual action

- OA2020 Community ListServ for sharing best practice and information community@oa2020.org
- OA2020-ICOLC listserv icolc-oa2020@lyralists.lyrasis.org
- OA2020.US network
- OA2020-de German National Contact Point

https://oa2020.us/about-this-site/
Strategic objective 2
Enable institutions to take individual action

2018 Q2 OA2020 Transformation Workshops

USA – **ICOLC North American Annual Conference**
Korea – Korea Institute of Science and Technology Information consortium
South Africa – Universities South Africa Funding Strategy Group

**MPDL Workshop 5-7 June**
16 participants from library consortia from Austria, Belgium, Brazil, Denmark, Iceland, Israel, Qatar, Sweden, Switzerland, UK

**OA2020-DE Workshop (Bielefeld)**

**Efficiencies and Standards for Article Charges (ESAC) Workshop**
Strategic objective 2
Enable institutions to take individual action

OA2020 Transformation Workshop topics

- Growing relevance of OA publishing
- Gathering and analyzing publication and spending data
- Alternative access methods
- Stakeholder engagement
- Transformative agreements
- Publisher negotiation strategies
- Pure gold OA agreements, workflows, resources
- International collaboration (OA2020 in the broader OA landscape)
Strategic objective 2
KPI – Individual action (roadmaps, data analyses, etc.)

Local OA2020 Roadmaps

While continuing to support new and improved forms of OA publishing, the OA2020 Initiative seeks to propel the Open Access movement forward by transforming a majority of today’s scholarly journals from subscription to OA publishing in accordance with community-specific publication preferences. Below is a small selection of sites where you can find a wealth of information on the different strategies and roadmaps that institutions are adopting to **divest of subscriptions** and **invest in open access**, in order to achieve our common vision.

University of California, [https://libraries.universityofcalifornia.edu/about/initiatives/scholarly-communication/](https://libraries.universityofcalifornia.edu/about/initiatives/scholarly-communication/)


Austria, [http://www.oana.at/](http://www.oana.at/)


Finland, [https://www.kiwi.fi/display/finlib/Scholarly+publications++FinELib+negotiations](https://www.kiwi.fi/display/finlib/Scholarly+publications++FinELib+negotiations)

Germany, [https://www.projekt-deal.de/about-deal/](https://www.projekt-deal.de/about-deal/)


Sweden, [http://openaccess.blogg.kb.se/english/](http://openaccess.blogg.kb.se/english/)

Switzerland, [https://www.swissuniversities.ch/.../Open_Access___strategy_final_DE.pdf](https://www.swissuniversities.ch/.../Open_Access___strategy_final_DE.pdf)

**take action**

Endorse OA2020

Create a Roadmap

Have Impact

Expression of Interest

List of Signatories

13th Berlin Open Access Conference
Strategic objective 2
KPI – Individual action (roadmaps, data analyses, etc.)

University of California Call to Action with strategic priorities for journal negotiations and Declaration of Rights and Principles to Transform Scholarly Communication by the faculty-led University Committee on Library and Scholarly Communication (UCOLASC).

Many peer institutions and consortia in Europe and elsewhere are actively pursuing this goal by committing to a transition to immediate open access publication as an alternative to subscriptions. From the global OA2020 initiative with more than 100 signatories in 35 countries, to Projekt DEAL in Germany, and “No Deal No Review” in Finland, a global movement is gathering to address the unsustainability and restrictive nature of subscription-based journal publication by withdrawing library support for subscriptions and redirecting financial investments toward sustainable open access.

These forces are both the product and the markers of irreversible change. Technology has brought with it new affordances and opportunities that are changing the conduct and dissemination of research. Public funding for higher education is unlikely to be restored to previous levels. And our peer institutions have demonstrated that it is possible to break away from existing licensing practices and still serve the academic mission. There is no going back from any of these changes; we can only go forward.

https://libraries.universityofcalifornia.edu/groups/files/slasiac/docs/NegotiatingJournalAgreementsAtUC_ACaliToAction_final.pdf
Offsetting as a path to full Open Access: MIT and the Royal Society of Chemistry sign first North American ‘read and publish’ agreement

In the MIT Libraries, we have been following this offsetting approach closely, as it seems to have the potential to transition subscription-based journals to a fully open access model. We have felt, though, that there was one major contingency we would want met in order for us to go down this path: the agreement would need to establish that over the long term, the publisher plans to use the hybrid approach to enable a transition to full OA. Our concern is that –if perpetuated indefinitely– a hybrid model will not realize the full potential of open access to make research available to all, worldwide, rather than to only those with the capacity to purchase access.

Given this context, we are pleased to report that we have just completed a license with the Royal Society of Chemistry –the first “Read and Publish” license agreement among North American institutions – that contains language acknowledging that the read and publish model is a step on a path to full OA. The language reads:

Publisher represents that the Read & Publish model, with its foundation in “hybrid” open access – where some articles are paywalled and others published open access – is a temporary and transitional business model whose aim is to provide a mechanism to shift over time to full open access. The Publisher commits to informing Customer of progress towards this longer-term aim on an annual basis, and to adjusting Read & Publish terms based on its progress towards full open access.

Strategic objective 2
KPI – Individual action (roadmaps, data analyses, etc.)

Inclusion of APCs in current contracts
- Yes: 85.2%
- Offsetting provisions: 11.1%
- No: 3.7%

Inclusion of APCs in future big deal contracts
- Yes: 63%
- No: 11.1%
- Still under analysis: 25.9%
Strategic objective 3 - Motivate and synchronize organizations and institutions in concerted action

European High-Level summit meeting on Open Access negotiations

3. May 2018

Upon invitation by Horst Hippler, president of the HRK, a high-level summit meeting was held yesterday in Berlin in the presence of Robert-Jan Smits, the recently appointed Open Access envoy of the EU.

Teams of university presidents, funding organisations and librarians that are involved in the ongoing independent negotiations with the major publishers (Elsevier, SpringerNature, Wiley) in the various countries, exchanged their experiences. Policies and concrete actions to accelerate the transition from the current, subscription-based publication system, to a complete open access “Publish and Read” system were discussed.

The participants agreed on aligning their strategies and striving for optimum transparency on the procedure and outcome of the negotiations.

“We see that the transition to open access is too slow, and I am utterly upset and concerned about this” Professor Hippler said. “It was broadly echoed in the meeting, that the limits of partnership of academic institutions with these large publishers have been reached.”

Strategic objective 3
KPI - regional and global concerted actions

- Closed meeting(s) among consortia with SpringerCompact agreements
- Annual Reviews “flipping” meeting
- Meeting with Robert-Jan Smits, Special Advisor on OA and Innovation to the European Commission
- Ongoing partnerships with EUA, LIBER, OASPA….
Preparations for the 14th Berlin Open Access Conference

- High-level European Summit as basis
- Global representation
- 3-5 delegates per country
  - Funders and Ministries (political-economic)
  - HE and Research (strategic)
  - National licensing bodies (operational)
- Analyze and compare strategies
- Measure collective progress of approaches
- Define concerted actions on a regional and global scale
Outlook Q3

- LIBER OA2020 Workshop (July)
- OA2020 “Advanced” workshop 25-27 September
- Impact of current Elsevier negotiations and cancellations
- Further preparation for the 14th Berlin OA conference
- OA2020 webcast series (see workshop topics +…?
- What else would be helpful to you and to us?
Open Access 2020 United States Country Report
July 2018

Curtis Brundy
AUL for Scholarly Communications and Collections
Iowa State University

July 9, 2018
OA2020 **United States** Gain Consensus

### Project Phases

<table>
<thead>
<tr>
<th>Phase</th>
<th>Details</th>
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|                  | - *Signatories:*  
|                  |   - 2017 - 5 (UCSF, UC Berkeley, UC Davis, UC Merced, Cal State Northridge)  
|                  |   - 2018 - 5 (University of North Texas, Wayne State University, UCLA, UC Riverside, Iowa State University)  |
| Build capacity   |         |
| Take action      |         |
OA2020 United States Build Capacity

<table>
<thead>
<tr>
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<th>Progress</th>
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<td>Build Capacity</td>
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<td>Take action</td>
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Activities
- Pay It Forward Study July 2016
- OA2020 Transformation Workshop: ICOLC April 2018
- UC Pathways to Open Access (UC event not OA2020)
  - Report February 2018
  - Forum: Choosing Pathways to Open Access Oct. 2018
### Project Phases

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<tr>
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<tr>
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<td><strong>Consortium-level</strong></td>
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<td>- UC System Offset Pilots 2019</td>
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<td>- Greater Western Library Association Offset Taskforce July 2018</td>
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<td></td>
<td><strong>Library-level</strong></td>
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<td></td>
<td>- <a href="#">MIT Offset agreement with RSC</a> June 2018 <em>(not OA2020)</em></td>
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<tr>
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<td><strong>Other</strong></td>
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<td></td>
<td>- 2.5% Initiative, <a href="#">Scholar Owned OA</a> (ARL, SPARC, COS)</td>
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### Take action
OA2020 Network Progress Update Germany

Dirk Pieper
National Contact Point Open Access OA2020-DE/ Bielefeld UL

09 July 2018
Open Access 2020 signees Germany (2018-07-09)

Signatories Germany
National contact point http://oa2020-de.org/

- Alexander von Humboldt Foundation
- Bavarian Academy of Sciences and Humanities
- Bielefeld-Institut
- Bielefeld University
- Chemnitz University of Technology
- Deutsches Forschungsgemeinschaft (DFG)
- European Geosciences Union (EGU)
- Federal Institute for Vocational Education and Training (BIBB)
- Fraunhofer-Gesellschaft (FhG)
- German Council of Science and Humanities (Wissenschaftsrat)
- German National Academy of Sciences Leopoldina
- German National Library of Science and Technology (TIB)
- German Quaternary Association (DEL/ÖGA)
- German Rectors' Conference (HRK)
- German Society for Pre- and Protohistory (DGUF)
- Göttingen State and University Library (SUB)
- Helmholtz Association
- Hugo Grotius gGmbH – gemeinnützige Gesellschaft zur Förderung der Rechtswissenschaften
- Johannes Gutenberg-Universität Mainz
- Leibniz Association
- Leipzig University
- Max Planck Society (MPG)
- Technische Universität Braunschweig
- University of Kassel
- University of Paderborn
- WWU Münster
- ZB MED – Information Centre for Life Science

be informed
- About OA2020
- How It Works
- Why It Matters
- Who Benefits
- OA2020 Community

Expression of Interest
- List of Signatories
- 20th Berlin Open Access Conference
OA2020-DE Pipeline

**Gain concensus**
- Proposal to Alliance of Science Organisations 2016
- Cooperation agreement January 2017

**Build capacity**
- Project team established 2016
- Project staff complete since December 2017

**Take action**
- **Project objectives and milestones**
  - Communication strategy
  - Started data analysis (DEAL negotiations)
  - OA journal publisher consortia
  - OA ebook model
OA2020-DE Tactics

**Project Phases**

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**Tactics**

- Present OA2020-DE at national and international conferences
- Workshop strategy for different target groups (acquisition librarians, top management of EoI signers, publishers, professional societies)
- Professional articles (e.g. on APC price levels)
- General outreach using new formats (e.g. Open Science radio)
- Create information material, hand handouts
## OA2020-DE Tactics

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<th>Project Phases</th>
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<tbody>
<tr>
<td>Gain Consensus</td>
<td>- Create a support system for individual institutions to analyse the</td>
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<td>relationships between publications and publication costs</td>
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<tr>
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<td>- Investigation of financial flows and development of financing models</td>
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<tr>
<td>Build Capacity</td>
<td>- Conceptual development of the negotiation strategy of the scientific</td>
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<tr>
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<td>institutions towards science publishers</td>
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<tr>
<td></td>
<td>- Developing new OA transformation models</td>
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<td>- Motivate libraries to invest <a href="#">free Elsevier money</a> to open access</td>
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<td>- Cooperation with related projects like INTACT</td>
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<tr>
<td>Take action</td>
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Open Access

5 ways to support the open access transformation

1. Support gold open access publishing
   - Support your researcher with (paid) publishing in the gold open access and make funds available for this, e.g., by the conversion of subscription budgets. Document these expenditures by participating in the openAPC project.

2. Publishing infrastructure
   - Advise and support your researcher in open access publishing. Provide platforms for publishing their own open access journals or publishing their own institutional repositories.

3. Analysis of publication and cost data
   - Collect data on the publication behavior of your researcher and the associated publication costs for your institution. Also get an overview of your subscription expenditures. You will receive support from the National Contact Point Open Access.

4. Alternative publishing models
   - Engage in open access membership models and cooperative publishing initiatives like Knowledge Unlatched, SCOAP3, or the Open Library of Humanities.

5. Networking
   - Convincing your institution’s leadership to sign the OA2020 Initiative’s Expression of Interest and help develop a local open access transformation roadmap in Germany. Connect with other actors in the open access area and within the scientific communities.
## OA2020-DE Tactics

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<td>Gain consensus</td>
<td><strong>OA2020-DE lectures and presentations</strong></td>
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<tr>
<td></td>
<td><strong>Open access transformation and media acquisition workshop</strong></td>
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<td></td>
<td>Promotion of <a href="#">alternative publishing models</a> to support gold open access</td>
</tr>
<tr>
<td></td>
<td>Pilot project <a href="#">Open Library Political Science</a></td>
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<tr>
<td></td>
<td>Concept for consortia with open access journal publishers</td>
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<tr>
<td></td>
<td>Concept for national open access transformation index (to be finalised by the project team September 2018)</td>
</tr>
<tr>
<td>Build capacity</td>
<td></td>
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<tr>
<td>Take action</td>
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