# Living with the *Sponsoring Consortium for Open Access Publishing in Particle Physics*

# Behind the Scenes at SCOAP$^3$

## or How I learned to stop worrying and love the LHC (and the Higgs boson)

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Fiesole Retreat

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# Refresher: What/Who is SCOAP$^3$?

- An innovative model to achieve open access to peer-reviewed journals in high-energy physics (HEP)
  - Converts HEP articles in the leading journals to “gold” open access
- Aims to convert an ENTIRE (sub)discipline **FROM** journals’ current subscription-based model **TO** open access
- Supports strongly the values provided by quality publishers and their journals
  - Quality assurance in the publication process (peer review and editorial services)
  - Provision of the *final published versions*
  - The journals remain as they are - submissions, sites, etc.

# What/Who is SCOAP$^3$?

- Product of extensive coalition-building with stakeholders in the community of scholarly communication across the world
  - Requested by the high energy physicists who work on CERN-sponsored global projects – “final version matters”
  - Researchers/authors, funders, libraries, and publishers
- CERN, the center of the global high-energy physics community, has led the SCOAP$^3$ efforts and will administer/host going forward, sharing leadership with the global community
- SCOAP$^3$ negotiates APCs with publishers *globally*, representing all library & research partners

# Estimated annual budget

- Broad range of pricing for OA journal articles averages around 1500 Euro
- 7,000 HEP articles are published per year (approx)
- SCOAP$^3$ currently includes about half of these, i.e., 3,500 articles
- Therefore, budget envelope is estimated at 5M euro
- Libraries are paying comparable amounts for their subscriptions
- SCOAP$^3$ assumes sufficient funds in the system to pay the APCs and keep these journals running
- Libraries foot the bill for this open access

# Participating publishers agreed

- To pull participating journal $$ out of existing packages or “big deals“ (instead will be paid by CERN for these)
- NOT to “double-dip“
- To a standard way of calculating the “reduction“ or “re-direct“ funds
- Participation in a joint “reconciliation“process
- To stay in the program for the initial 3 years
- To not raise APCs for 3 years
- To use 2011 data for estimated number of articles
- To use 2013 library prices as the base for SCOAP$^3$ Phase I (2014-16)

# SCOAP$^3$ Steering Committee

*"to co-ordinate the SCOAP$^3$ tendering process, designing the consortium governance, and bringing the initiative into its operational phase"*

- Jun Adachi, NII, Japan
- Paul Ayris, JISC Collections, U.K.
- Stefano Bianco, INFN, Italy
- Miriam Blake, LANL, U.S.
- Martin Koehler, DESY, Germany
- Salvatore Mele, CERN, Switzerland (Convener)
- Joao Moreira, FCCN, Portugal
- Ann Okerson, CRL, U.S.
- Ralf Schimmer, MPG, Germany
- Xiaolin Zhang, CAS, China
- Ivy Anderson. CDL, U.S. (ex-officio TWG liaison)

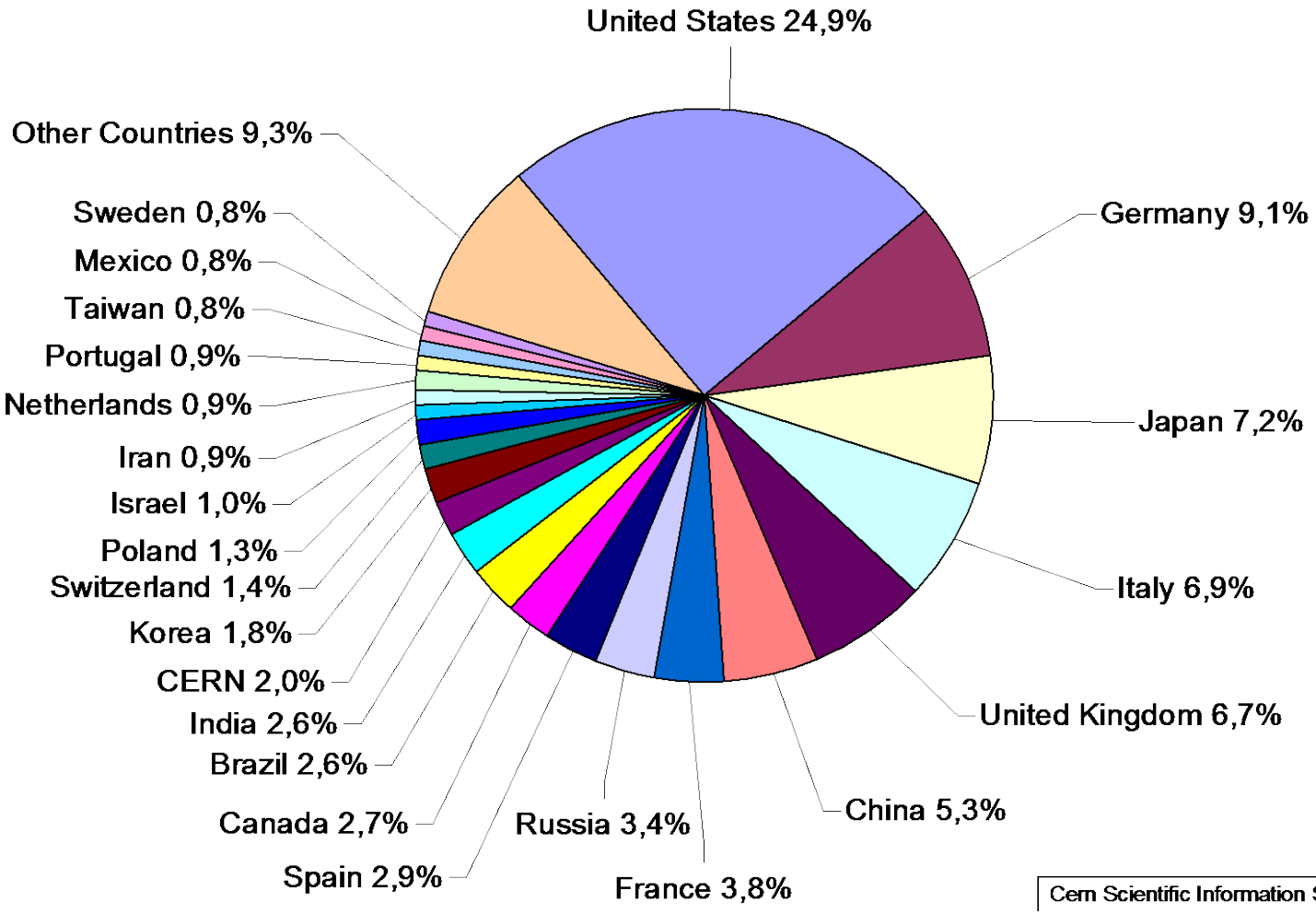
# SCOAP³ Technical Working Group

*"to address the key question of the price reduction for content today in large-scale subscription packages and eventually to be converted by SCOAP³ to Open Access [...and] collect requirements, analyse principles, and suggest ways forward toward a concrete implementation and monitoring "*

- Ivy Anderson, CDL, U.S. (chair)
- Paola Gargiulo, CASPUR, Italy
- Anne Gentil-Beccot, CERN, Switzerland
- Paul Harwood, JISC Collections, U.K.
- Carol Hoover, LANL, U.S.
- Tomonari Kinto, Tokyo, Japan [support: Satoru Kinoshita]
- Angelika Kutz, TIB, Germany
- Tom Sanville, LYRASIS, U.S.
- Jiancheng Zheng, CAS, China

# Fair Share Principle

## Each country contributes its share of worldwide HEP article publications




Cern Scientific Information Service

J. Krause *et al.* CERN-OPEN-2007-014

# SCOAP$^3$ Timeline - the long view

2005-2006 - Consultation within HEP research community and internal consensus on the SCOAP$^3$ idea

2007 - Initial rough design of the business model

2008-2010 - Worldwide outreach and collect “expressions of interest”

2011 - Go-ahead decision from DG, start operationalizing

2012 - Publisher tender concluded; results published

Oct 1, 2012 - Launch meeting with NCPs & outreach begins

2013 – Calculations, reconciliations, CERN to sign contracts

2014 – Start operations

2015 – Design next tender process to go-live 2017

# SCOAP$^3$ Tender Results

(alphabetical order)

| Publisher | Journal | SCOAP$^3$ Articles (2011) | SCOAP$^3$ Percentage (2011) | APC |
|---|---|---|---|---|
| Elsevier | Nuclear Physics B | 284 | ALL | 1800 USD |
| Elsevier | Physics Letters B | 1010 | ALL | 2000 USD |
| Hindawi | AHEP | 28 | ALL | 1000 USD |
| IOPp/DPG | New Journal of Physics | 20 | 2.7% | 1000 GBP |
| IOPp/SISSA | JCAP | 138 | 30.9% | 1200 GBP |
| IOPp/CAS | Chinese Physics C | 16 | 7.2% | 1400 GBP |
| Jagellonian | Acta physica polonica B | 23 | 22.1% | 500 EUR |
| Springer/SISSA | JHEP | 1652 | ALL | 1000 GBP |
| Springer/SIF | EPJC | 326 | ALL | 1500 EUR |
| OUP/PSP | PTP | 46 | 36.2% | 1200 EUR |
| | TOTAL ARTICLES | 3554 | | |
| | AVG SCOAP3 CONTRACTS | | | 1160 EUR |

# What‘s happening now?

- System of NCPs was created (national contact persons)
- Libraries are working through their designated contacts to calculate & upload the calculated $$ to a “reconciliation facility” at CERN
- So are publishers
- Cost reductions calculated by libraries and publishers being reviewed as part of a reconciliation process, to determine final amount – this has just begun
- Outreach to library partners with new MoU
  - Ongoing operation of the consortium will be overseen by a governance organization comprising representatives of the SCOAP$^3$ partners in the respective countries

# Challenges along the way?

- Biggest one:  Untangling the Package or Big Deal
- Publishers agreed to this as a condition for participation
- So, the big question is, “How much does each of these journals cost now?“
  - Need to extract the funds from current fees in order to pay publisher APCs
- Libraries and publishers disagree on the $$ reduction for the same titles in libraries‘ deals
  - Oh-oh!

Is it possible to untangle a “big deal?“

# 5 access scenarios & calculation spreadsheets

- S. 1: Journal is singly purchased (rare)
- S. 2: Packages in which individual journal costs are "known"
- S. 3: Packages based on historical spend
  - Cost of individual titles at time of conversion to big deal
  - Identify start year: input all annual price caps
- S. 4: Packages with a single fixed cost
  - Formulae were developed based on journal's relational size in package
- S. 5: Unsubscribed titles within packages
  - Requires knowing total value of package and what top-up or cross-access or content fees were paid for titles the publisher threw in "for free"

# So we all went away and calculated…

- All scenarios were “piloted” with publishers in advance, so that both could do the calculations and compare
- Yet, out of “my” first 175 spreadsheets analyzed for matches between library & publisher $$:
  - 123 title calculations fell within 1% variation, but almost none were exact
  - 27 calculations within 1-5% variation (4.3%)
  - 25 calculations = over 5% variation
  - AND - Pubs and libs disagreed on 95 scenario choices

# What have I learned so far?

- A lot of work for all concerned
  - We trained about 150 people in US on doing “Calculator” spreadsheets
  - Reviewed and submitted each one to CERN
  - Publishers are submitting their calculations
  - Full “reconciliation” will be a LOT more work
- Lots of complexities:  top up fees, special negotiations, special packages
- Underlying business models change over time; publishers/libraries interpret the results differently

# What have I learned so far?

- Publishers do not always seem to understand what arrangements they have made
- There is much more consistency on the society publishers' pricing for packages than the for-profits
  - Smaller packages are easier to untangle?
- Results of libraries' bargaining have assured that very few libraries are paying similar prices for their titles in the Biggest Deals – a 'dog's breakfast'
- Too little of the US pricing makes overall sense
- Does this matter?  (I think so)

# More challenges

- Soliciting US Partners
- No centralized system of higher education or library services (Multiple organizations, huge diversity)
- Who are the HEP journal subscribers?
  - *WorldCat* as a surrogate
- Approach individually
  - Not every library wants to participate
- Selling the *Encyclopedia Britannica*

# More challenges

- Building the global partnership
  - No pre-existing solidarity or organization
  - Inventing governance
  - arXiv, R4L, IFLA, CERN models
- Moving from mistrust to partnership
- Did we make the process too complicated?
- Meanwhile the world around us has changed
- And – can you just change one thing? Downstream consequences...

# More lessons

- The value of a strong Lead Organization
  - Working with CERN and its global network
  - Constant reminder that we're serving scientists
  - Excellent Project Leader
  - Excellent legal and purchasing staff
  - Principles of Fairness and Transparency apply at all times

# Can this process be replicated?

- As you've heard, this has been complicated
  - Inventing the plane as we fly it
  - Learning experience for all
  - Has taken much longer than anyone thought
  - APS dropped out with sustainability concerns
- We believe we've shown a way forward, and our work can be adapted and simplified for future conversions
  - Need a willing host organization (could be a publisher!)
  - Need an interested discipline with manageable title size
  - Our documents and processes open and freely shareable

# The Wider Context

- SCOAP$^3$ prompts libraries into active engagement with open access and transforming traditional journals into OA journals
- February 2013 – US federal open access mandate
- May 2013 – the Global Research Council (70 funding agencies) Summit recommends "an action plan to implement open access as the main paradigm of scholarly communications”
  - Recommend supporting Gold OA and transferring subscription funds of libraries to pay for OA fees
- June 2013 – G8 Science ministers advocate globally coordinated open access
  - https://www.gov.uk/government/publications/g8-science-ministers-statement-london-12-june-2013
- SCOAP$^3$ – an experiment worth doing

***Thank you for your attention and ideas***