Funding Models Workgroup Report

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Abstract/Workgroup Question

Following up on a proposal from OSI2016, this workgroup will identify and/or design new funding models for open scholarship, such as a venture fund that can allow more support for joint efforts, or propose ways to improve existing funding by improving the flexibility of library budgets (e.g. by examining the efficiency of "big deals"). After reviewing the challenges with funding open access, the group focused on the second part of the question to propose new ways to improve existing funding opportunities by finding flexibility in library budgets.

I. Assumptions

The workgroup felt it was important to agree on some underlying assumptions for the discussions. These assumptions included:

- Open access (OA) and open scholarship are not free; there is a cost to publishing. Major costs include the technology infrastructure needed to submit, review, accept, and post papers online, preservation, as well as the people required for peer review, shepherding content through the process, and marketing.

- Breaking big subscription deals may not solve all problems but libraries need to play a key role in the open access movement.

- For OA to be successful, we need further education about its value and quality and how it can positively impact the author.

- There are several models with an open end-product:
    - gold OA
    - platinum OA
    - hybrid OA
    - green OA
    - collective action
    - crowd sourcing
    - compact
    - submission fee
    - OA packages.

The workgroup primarily focused on moving toward gold and platinum models.

II. Challenges to Address

Several problems and questions related to funding OA were identified:

- Right now, it doesn't seem there is enough money in the system to support a global flip to OA. Libraries

will not be able to take on the full burden of OA and just change subscription budgets to pay for APCs.

- There is an inherent imbalance between subscriptions and research outputs at universities. Those who do not produce researchers, i.e. those (consumers) who do not have to pay APCs, versus universities/labs/institutes with high research output. This mirrors the current free rider problem within the industry of university presses that publish money-losing monographs for faculty at institutions that do not have university presses.
- All stakeholder communities must be interested in moving to OA and not every community wants to do this for a variety of reasons, ranging from values to economics. To move this conversation forward there must be more transparency.
- There is a lack of socialization about OA that is going to prevent research from publishing more in this area.
- Many editors benefit financially from this system in terms of significant stipends and have no incentive to move to an OA system where such payments may not be available.
- Grants to fund open access are not sustainable; need to move to a sustainable business model that generates revenue.
- There is no incentive for authors to move to OA; the jury is still out on whether OA translates to increased citation, more notoriety, and general impact of work.
- Technology is another big challenge for OA, as with any publishing model, as there are so many platform and discoverability options, and it is dif-

ficult to determine which ones are going to exist in the long-term. And as OA relates to data, how are communities going to choose standards and ensure uniformity so open data is useful and accessible in the future? How will publishers work with federal and funder mandates for open data?

- In the sciences, there is a fundamental disconnect between the academic communities and corporations who will not cite or publish, but need content to advance their work, improve their products, further innovation, and create new markets.
- There are varying mandates and funds available in different regions around the world to advance toward OA. For example, in Europe and in the U.S. OA mandates are being enforced now and many grants come with a separate fund to pay APCs. This, however, is not the case everywhere and can widen the gap with the Global South.
- There is not a lot of competition with the big deals, so there is less flexibility and creativity with library budgets. Additionally, some libraries are required to carry certain journals to allow their community to get certain certifications (FDA approvals, etc.).
- Promotion and tenure track often puts pressure on researchers to publish in non-OA journals because of higher impact factor. Until the tenure system is overhauled and/or quality open access journals are favored more than quantity.

Funders, publishers, librarians, and authors need to find common ground in moving toward OA.
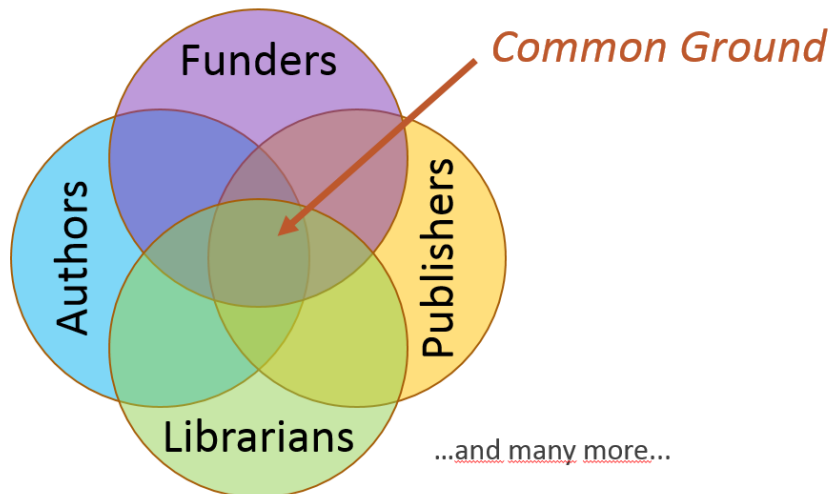
III. Potential Funding Sources

There are several sources of funding that the group identified for moving towards a more open paradigm. Finding money in these budgets and shifting perspectives is going to be an educational exercise:

Academic/Labs/Institutes: while the libraries at institutions cannot cover all of the costs for APCs, they could be a source of income in the short-term. Researchers could also look to departmental funds, or organization-wide APCs pots, although currently the latter is exhausted quickly at the 100+ institutions that have this system.

Governments: as mentioned previously, many governments are providing separate funds (outside of research grants) to pay for APCs to meet OA mandates.

Private Foundations/Philanthropists: members of the research funding group and other individuals wishing to move the needle on scholarly publishing to be more open and accessible can play a big role in this transition. Whether they will fund a central pot for APCs or other programs/services on the research spectrum is yet to be determined.

Industry: especially in science, industry could play a role in funding the move to OA as a virtual R&D lab for their products.

Collective Arrangements: SCOAP3 type of collaborations and other collective action programs for libraries could be an option for some communities. Additionally, cooperative publishing could help fund more open journals, i.e. Knowledge Unlatched, Open Library of Humanities.

IV. Recommendations

It is obvious that one model of OA is not going to be appropriate for all research communities and we cannot expect that APCs will bring in the same amount of revenue as the subscription model does.

We should, however, expect that lessons can be learned from different stakeholders and research communities, and those lessons should be shared to be replicated or tweaked for each circumstance. What is good for anthropologists may not work entirely for microbiologists, but there is likely to be components that can adapted. A key part of the success of OA is going to be education and socialization programs that not only secure early adopters, but also breed ambassadors to make sure that quality, peer-reviewed open journals are the gold standard and that predatory OA journals do not continue to taint the open access movement. This will help direct more funding towards OA as the standard. Other recommendations include:

- Finding the total amount of money that institutions, governments, and private funders currently spend on APCs
- Publishing case studies on open journals, i.e. collective actions programs, platinum, etc.
- Identify where there are opportunities in the scholarly publishing system to generate income. Right now, it's a binary revenue model: subscriptions or APCs. Could there be additional opportunities looking at research from cradle to grave?
- Identify where there are economies of scale that could decrease the cost to publish, especially for independent, nonprofit publishers.
- Encourage institutions to set OA goals every year and increase funding from various areas of the organization to fund those costs.

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