Virtual Cochrane Governance Meeting
June 2021

Open Access Strategic Session

22 June 2021

Session Structure

- Introductions
- Open Access presentations – 30mins
- Question & Answer session – 10mins
- Breakout discussion groups – 30mins
Presentations

1. Quick guide to Open Access - the key things you need to know about OA and Cochrane’s current OA position – John Hilton
2. Cochrane’s commitment to OA – understanding the strategic drivers and influences, the OA landscape, and the challenges from changing funder mandates – Chris Champion
3. Introducing the Open Access project to develop a roadmap to OA – overview of objectives, workstreams and timelines – Charlotte Pestridge
4. Introducing OA business models – the models we are researching, and understanding what will be Open – Rachel Craven
Section 1 – Guide to Open Access

The key things you need to know about Open Access, and Cochrane’s current OA position

John Hilton
Senior Editor, Publishing Operations
What is open access?

- Open access (OA) is the **free, immediate**, online availability of research articles combined with the **rights to re-use** these outputs fully.

- Knowledge is open if it is free to access, use, modify and share.

- Open access publication has mostly been funded by payment of an **article processing charge** (APC), paid by:
  - **Authors**: pay out of grant funds
  - **Funders**: provide dedicated funds for open access publishing
  - **Institutions**: cover costs centrally with open access funds and/or payment arrangements with publishers
Types of open access

There are two dominant types of open access:

**Gold OA**
- ‘Version of record’ is made freely accessible online, immediately and permanently, with full re-use rights.
- Free forever to everyone to read and re-use.

**Green OA**, also referred to as self-archiving
- A version of the article is placed in a repository after publishing in a journal.
- Freely available, usually with restricted re-use rights and after an embargo period.
Open access re-use rights

To be open an article should be available for re-use. The recognised way to do this is to with a Creative Commons (CC) license.

The type of CC licence offered depends on the journal, publisher, or funder policy, or author preference.

The most open license is CC-BY, which allows others to modify, build upon and distribute work (including for commercial purposes) as long as the original authors are credited.
What is the difference between free and open?

An article may be freely accessible when it is made **free to read** in a journal or in a repository.

But that does not necessarily satisfy the criteria for ‘open’.

To be **open**, an article should be available for **re-use**, usually via a creative commons license.
Cochrane’s current publishing model

Cochrane Reviews are published in the *Cochrane Database of Systematic Reviews*, hosted on the Cochrane Library, alongside other content.

Cochrane Library available by subscription or regional license.
Cochrane’s current publishing model

Green OA
- Final published version (version of record) is free to access on the Cochrane Library after a 12-month embargo
- This version is deposited in PubMed Central
- Limited re-use rights
- 70% of Cochrane Reviews currently available free via this route

Gold OA
- Immediately free and ‘open’ with a variation of a Creative Commons license (CC-BY-NC or CC-BY-NC-ND)
- Low uptake: 193 Cochrane Reviews since 2013

The Cochrane Library has a subscription business model to access embargoed (paywalled) content, so CDSR is classified as a hybrid journal.
Cochrane’s current publishing model

Additional free access options

- All Protocols and Editorials are published as immediate free access.

- Reviews included in some Cochrane Library Special Collections available free access for limited time.

- COVID-19 reviews continue to be available free access.

  As of March 2021, 72.4% reviews available free

- 120 low- and middle-income countries have free access via the HINARI programme

- National and regional licences in 17 countries
### How open are Cochrane Reviews?

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<th>Author posting rights</th>
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[sparcopen.org/our-work/howopenisit](http://sparcopen.org/our-work/howopenisit)
Questions?
Section 2 – Cochrane’s commitment to OA

Importance of OA to Cochrane, understanding changing funder mandates and challenges for Cochrane.

Chris Champion
Head of People Services
Cochrane’s commitment to Open Access

Strategic objective:

By 2025, Cochrane will achieve universal Open Access to Cochrane Systematic Reviews immediately on publication for both new and updated reviews.
Drivers for Open Access

OA is at the heart of Cochrane’s mission.

- Allows everyone to benefit from reading and using our evidence.
- Enables results to be disseminated more rapidly and widely.
- Accelerates research and the use of evidence in policy in practice.

COVID-19 has demonstrated the benefits of OA, which will accelerate the move to open research.

Responding to increasing funder mandate pressures

Innovation in Open Access funding models
Changing global OA environment

- Funding policies and mandates are evolving rapidly in some regions of the world, less so in others.
- **Coalition S** is one of the major influences in the OA policy landscape and is driving rapid change across Europe through its **Plan S**.
- Plan S does not support the hybrid model of publishing.
- They have forced through the transition of hybrid journals to full OA through the use of time-limited Transformative Agreements including transformative journals.
Cochrane

Global Open Access Policies and Initiatives

- Established Green OA Policy with some Gold
- Gold OA Policies
- Green OA Policies
- No designated policy
Changing funder mandates: NIHR Case Study

- NIHR (UK) is expected to introduce a new OA policy aligned to Plan S from April 2022.
- NIHR have made it clear it will include infrastructure funding and grant funding.
- Future funding to UK CRGs will be at risk if we do not comply with the new NIHR OA Policy.
- We are still waiting for the new policy to be published – but have started discussions with NIHR to consult on our OA plans and options. Still unclear whether we will have to comply from April 2022 or from April 2023.
Changing funder mandates: NHMRC Case Study

- NHMRC ran a consultation in April 2021.
- What we know from this consultation is that they are exploring an author rights retention strategy.
- This empowers the author to choose any publication route.
- We believe this will affect Cochrane sometime between January and July 2023.
- We still need to have a dialogue with NHMRC to understand whether this will cover infrastructure and grant funding.
Impact of these mandates

1. Our 12 month embargo period will no longer be compliant.

2. We will need to remove barriers to full re-use (i.e. publication under a CC-BY creative commons attribution license).

3. Our hybrid journal approach will be non-compliant, unless the publication is part of an approved time-limited OA transformative arrangement or transition plan.

4. Our open access model will need to take account of Author Rights Retention strategies.
Impact of these mandates (cont.)

- These mandates apply to the outputs of 30 Review Groups who, in 2020, collectively published 385 reviews (71% of the annual total).
- This Group funding is at risk if we do not have a compliant OA publishing route.
- Any future publishing business model, whether subscription or Open Access, is at risk if we do not have systematic reviews to publish.
C. £14.8 million GBP in 2020

- National and international governments
- Universities
- Hospitals
- Charities
- Etc

C. £0.7m

Indirect* (Author funding or support from their institution)

- Institutional support
- Specific project funding

Central Executive

- Review processing
- Editorial, technological and business leadership
- Learning
- Support
- Methods
- Advocacy and dissemination
- Other revenue generating activities, e.g. Cochrane Response
- Etc

Wiley

- Review publication
- Other product publication
- Cochrane Library platform
- Sales and licences
- Marketing and promotion
- Etc

£10.1 million GBP in 2020

- National and international governments
- Sub-licensers
- Universities
- Hospitals
- Individual purchasers
- Etc

"Indirect" does not constitute income for Cochrane, but acknowledges the funding sources that pay for our authors' time when writing Cochrane reviews.
Challenges

• Expectation that any future OA business model will bring in less revenue than the current subscription model.
• We need an OA model that at the least covers our central review production and publishing costs.
• Other revenue sources will be needed to fund other Cochrane activities.
Questions?
Open Access project to develop a roadmap to OA.

Overview of objectives, scope and timelines.

Charlotte Pestridge
Head of Publishing, Research and Development
Project objectives

- This is a research and consultation project to identify a sustainable and funder compliant route to full Open Access (OA) for all Cochrane Reviews.
- This phase of the project will run through to March 2022.
- We will deliver an OA transition plan confirming:
  - How Cochrane could deliver full OA by 2025.
  - How we can be compliant with OA funder mandates during this 3 years transition period.
  - The impact and implications this would have on Cochrane’s future income and review production and publishing models.
Research & consultation objectives

1. To understand the operational, financial and risk profile of a range of OA business models.
2. To validate the proposed Cochrane Library product strategy and development plan with key user and customer groups.
3. To define what content is open and what could be behind a paywall at both product and article level.
4. To understand the OA challenges and opportunities facing our review producing stakeholders and groups.
Why a 3 to 4-years roadmap to OA?

- Need time to manage a publishing business model change of this scale.
- This one business model change impacts up to 80% of the charities income.
- Need to complete due diligence and ensure we have the time to manage the financial, operational and organisational risks.
- Provide sufficient time to implement any changes required in our review production and publishing systems and models.
- We will work with funders to comply with new funder mandates during the 3 years roadmap.
Proposed roadmap to OA

Year 1
Identify & understand impact of suitable OA models

2021

Year 2
Complete due diligence for preferred model

2022

Year 3
1 to 2 years to implement the new model

2023

Year 4
1 to 2 years to implement the new model

2024

Year 5
Full OA transition completed

2025
Questions?
Open Access business models

The models we are researching and clarifying what will be Open.

Rachel Craven
Product Lead
Open Access business models under consideration
Open Access & financial sustainability

Open Access means free to access on the day of publication

BUT quality editorial, publishing and dissemination (key to Cochrane mission) must be funded somehow, by someone…

OA business models under consideration in the coming months:
• Subscribe to Open
• APCs
• Freemium subscription model
• Funder community
## OA models under consideration

|                          | Subscribe to Open                                                                 | Article Processing Charges                             | Freemium                                                                                       | Funder Community                                                                 |
|--------------------------|----------------------------------------------------------------------------------|---------------------------------------------------------|------------------------------------------------------------------------------------------------|
| **Who pays?**            | Subscribers pay to make Reviews open for all (as opposed to paying for access to Reviews only for their own institution) | Authors/funders pay to make a Review open               | Cochrane Library subscription contributes substantially to making Reviews open                   | Research and national funding agencies sponsor making Reviews open via a funder community model. |
| **What are they paying for?** | Shared cost of publishing for all Reviews                                           | Entire cost of publishing for one Review                | Subscription content, resources & tools                                                         | Shared cost of publishing for all Reviews                                           |
| **What's the current landscape?** | Experimental No proven track record                                               | Well-established Most publishers using this model for OA | Well-established Common pricing model for content providers and software companies                | Well-established Common at a project-level, not common for infrastructure costs |
| **Is it a good fit for Cochrane?** | To be validated                                                                  | To be validated NB. Does not map to Review author model | To be validated                                                                               | To be validated                                                                       |
Why APCs do not work for Cochrane

- Very low uptake of Gold APCs since introduction in 2013.
- Our authors do not have access to institutional and funder APCs.
- Higher APC rates would be required to support our central review production and publishing costs.
- We have relatively high review production costs due to the complex nature of systematic reviews and our quality standards.
- Lack of access to OA subsidies from other Cochrane funding sources.
Open Access content
What does it mean for the Library?

“Research publications [...] must be free to access on the day of publication. In addition, the right to reuse the article is subject to a special type of open licence.”

- Impact: research publications, data reusability, remove embargo

“The scope of Plan S is primary peer reviewed research across all disciplines [...] Plan S applies to all peer-reviewed publications that are based on results from research funded fully or partially by cOAlition S members.”

- Impact: Cochrane Reviews (but not CENTRAL, CCAs)

“With effect from 2021, all scholarly publications [...] must be published in Open Access Journals, on Open Access Platforms.”

- Impact: CDSR/Cochrane Library

*cOAlition S, updated 4 Nov 2020; www.coalition-s.org*
Future Cochrane Library?

Open Access

Open Access Reviews - article by article including article-level data - with free-to-use standard search

Paywalled

Cochrane Library with cross-article content and tools, and enhanced subscriber content, resources & tools
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OA Key principles

OA business model and transition plan needs to balance the following key principles

• Sustainable and work within the context of Cochrane’s broader organisational funding model and strategic priorities.
• Support the core activities required to maintain and support the delivery of high quality, trusted, relevant and timely Systematic Reviews.
• Compliant with Cochrane’s research funder OA mandates and expectations.
• Inclusive and equitable, supporting all authors irrespective of their geographic or institutional setting, or career level.
• Attracts authors and high quality reviews.
Questions?

Thank you