I am here to introduce you to the Open Access Network, but I am going to start by telling you a story. It’s a familiar story that I suspect many of you can relate to....
There once was an assistant professor of political science in a small liberal arts college. Prior to becoming an academic, she was a humanitarian aid worker with Doctors without Borders. She became an academic so she could devote time to exploring the social and political problems that stymied peacekeeping and aid work in the country where she worked — the Democratic Republic of Congo.
As a tenure-track academic, she knew she needed to publish her research in the most prestigious journals she could. And she did.
However, what she quickly discovered was that the research she had conducted to help her former colleagues, to inform the Congolese policymakers, and to improve the lives of the people of Congo — was behind a paywall.
She could pay $3,795 if she wanted to make her article accessible by paying an article-processing charge (APC), but the meager budget she had for research was spent on travel to the Congo.
She turned to her librarian. The librarian could use her budget to cover the APC, but “flipping” a single article doesn’t mean the librarian could cancel the journal. And what about this researcher’s other colleagues, not just in her department but across the whole campus? I’m not great at math, but anyone can see this sets up a scenario that is not sustainable.
Moreover, if the librarian did cancel her subscription, and 500 of her colleagues did the same, the Royal African Society could no longer keep membership fees low, fund their annual conference, and give research awards to graduate students.
But the problem of how to pay for open access is not simply with how to pay for journals. There are many experiments for OA books as well.
Most of them are looking to the academic institution's library to pay.

<table>
<thead>
<tr>
<th>Title Fee Examples</th>
<th>Participating Libraries</th>
<th>Cost per Library</th>
</tr>
</thead>
<tbody>
<tr>
<td>$10,000</td>
<td>250</td>
<td>$40.00</td>
</tr>
<tr>
<td></td>
<td>500</td>
<td>$20.00</td>
</tr>
<tr>
<td></td>
<td>750</td>
<td>$13.33</td>
</tr>
<tr>
<td>$15,000</td>
<td>250</td>
<td>$60.00</td>
</tr>
<tr>
<td></td>
<td>500</td>
<td>$30.00</td>
</tr>
<tr>
<td></td>
<td>750</td>
<td>$20.00</td>
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</tbody>
</table>
Some are (to be fair) looking to spread the pain. But funding based on localized payments for some specified publication unit — whether that is an article or a book — is not sustainable. And what about funding for research output that is not a single unit? What cost can be placed on an ongoing multimodal digital project? What about a dataset? Or a platform?
Open Access (OA) publishing is in a state of flux
Open Access (OA) publishing is in a state of flux — a hot mess.
To address this problem, we wrote a white paper outlining a transformative solution for sustainable OA publishing and archiving that is complementary, not competitive, with other OA funding approaches.
Our Assumptions

- Researchers and scholars prefer to publish in venues most relevant to them and their peers, often those associated with scholarly societies and university presses.

- Sharing products of research and scholarship is responsibility of every institution.

- Mission of library is to support dissemination, collection, organization, and preservation of scholarly output whatever its form.
Our Assumptions

- While not every institution or scholarly society has capacity to support publishing enterprise, each has ability and responsibility to support those who do.

- Current models of OA publishing based on cost-per-unit approaches are not easily adapted to new forms of scholarly communication, thus not scalable or sustainable.
Our Proposal

1. Create partnerships among scholarly societies/university presses, research libraries, and others (e.g., digital archives) who share common mission to support creation and distribution of research and scholarship and to enable affordable education.

2. Encourage institutionally supported publishing and preservation for OA publications of all kinds, not just journal articles and monographs.

3. Develop sustainable financial model based on annual or multi-year institutional payments to centrally managed fund established to support infrastructure.
The OAN model proposes that all institutions of higher education contribute to systemic support of the research process itself, including its scholarly output. It is a bold rethinking of the economics of OA by way of partnerships among scholarly societies/university presses, academic libraries, and publishers funded — in the long term — by an institutional fee structure based on a student-and-faculty per-capita sliding scale. Core to the model is its insistence on broad institutional support of the scholarly communication infrastructure itself, not on any particular format (e.g., books, journals, website).
Institutional Payments

All tertiary institutions pay annual fee based on their Carnegie (or similar) classification and number of FTE faculty and students.
Funding Model

$0.50/student/years of study to highest degree awarded

AA = $1 | BA/BS = $2 | MA/MFA/MS = $3 | PhD/MD/JD = $5

+$5/full-time faculty (administration, staff, and adjuncts exempt)

Disclaimer: Dollar amounts based on assessment of market tolerance. Actual amounts might differ. Among variables:

Should public institutions pay same as private ones? How would model work in global South? Goal is nevertheless fee structure based on numbers that are publicly reported and therefore completely transparent.

For tertiary institutions, the payment is based on the number of their students and full-time faculty on a sliding scale tied to the Carnegie (or Carnegie-like) classification, as well as on the number of researchers, scientists, or scholars at other types of institutions (e.g., medical research centers). This amount of $0.50 per student per year of study was based on what we felt the market could bear. The per-capita payment (equal to a cup of coffee) is modest relative to the overall budget of most institutions, but, when spread broadly across all institutions, results in a sum substantial enough to sustain a vibrant and open scholarly communication environment.
Funding Model

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While we feel the institutional cost is reasonable, some concerns have been raised about equitability. For example: Is the FTE approach the right one? Wouldn’t the cost be too high for those in the global South? We insist on having a cost calculation based on transparency — we went with FTE because that number is publicly available — but welcome suggestions for alternative models.
### Examples of Institutional Annual Fees

<table>
<thead>
<tr>
<th>Institution</th>
<th>Carnegie Classification</th>
<th>Students</th>
<th>Full-Time Faculty</th>
<th>Annual Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Northwest College</td>
<td>Associate</td>
<td>1,880</td>
<td>78</td>
<td>$2,270</td>
</tr>
<tr>
<td>Gustavus Adolphus College</td>
<td>Baccalaureate</td>
<td>2,449</td>
<td>202</td>
<td>$5,908</td>
</tr>
<tr>
<td>Pacific University</td>
<td>Master's</td>
<td>3,583</td>
<td>270</td>
<td>$12,099</td>
</tr>
<tr>
<td>UC San Francisco</td>
<td>Medical</td>
<td>3,079</td>
<td>3,273</td>
<td>$31,760</td>
</tr>
<tr>
<td>Fordham University</td>
<td>Research</td>
<td>15,097</td>
<td>747</td>
<td>$79,220</td>
</tr>
</tbody>
</table>

All numbers as of 20 July 2015 (Source: National Center for Education Statistics)
What’s in it for the institution?

- Open access at scale is part of solution to address two pressing problems:
  - Soaring cost of higher education
  - Challenges of lifelong learning
Lowering Costs of Education

In world where OA is norm:

- Cost of subscription and access management would be substantially reduced.
- Savings could be perhaps as much as 30% in deceased indirect industry costs, which (hopefully!) would be passed along to institutions, and in direct institutional costs, which (hopefully!) would be passed along to students.
Supporting Lifelong Learning

- Institutional contribution could be cost-effective student and alumni benefit that may in turn benefit alma mater:

- Access to content builds on teaching and learning mission of college/university, where skills developed to discover, analyze, and use scholarly content contribute to critical thinking necessary for successful student outcomes.

- Graduates do not get lobotomies along with their diplomas. Lifelong learners tend to enter and remain in higher-paying careers and have considerable monetary, cultural, and entrepreneurial impact on society that may return in positive ways to the college or university.
Partnerships among scholarly societies/university presses, libraries, and others receive stable annual funding to support operations, convert research output to open access, and embrace new forms and formats of scholarly communication.

Institutions and scholarly societies/university presses come together in partnership to apply for funds; the funds dispensed are used to provide direct support for the distribution, access, and long-term archival preservation infrastructure of the partnerships.
Criteria for Partnerships

- Positive impact on scholarly communication ecosystem
  - Esp. increasing access while decreasing costs
- Collaboration between at least one academic institutional unit (e.g., library) and one scholarly society or university press
- Financial transparency of costs and workflow processes associated with publishing operation
- Archiving and preservation plan
- Clear memorandum of understanding between/among partners
Infrastructure

Together these mission-driven alliances develop infrastructure and best practices needed to support open and dynamic scholarly information ecosystem.

Sharing, curating, and preserving scholarship is imperative for the advancement of research, just as openness is central to the development of new modes of teaching and learning. Deep structural changes to the scholarly communication system are needed not only to respond to the current funding crises in higher education and the emerging forms of scholarship in the digital age, but also to foster and deepen the connections between the academy and the wider public. Only a model that builds collaborative alliances across a wide variety of institutions and that engages a range of stakeholders can provide a fair and equitable path to truly open and sustainable forms of scholarship.
Phased Approach

Launch phase raises seed funding through memberships, sponsorships, and grants to support organization and handful of pilot projects.

Phase 1 demonstrates proof of concept by converting some humanities and social science (HSS) publications to OA and by providing sustainable funding to some born-digital projects.

Phase 2 expands practical implementation of our model to demonstrate it can operate at scale.

Phase 3 (full implementation phase) expands funding and broadens application and review process for proposals to include all comers, from any discipline and from any publisher.
This is the Network as of September 10, 2015. Organizational and institutional members include publishers, scholarly societies, university presses, and academic libraries from across the spectrum — liberal arts colleges, public colleges and universities, and large private universities.
**Key Points**

- The Open Access Network is complementary, not competitive, with other OA models.

- Our aim is to fund entire scholarly communications infrastructure — from creation to preservation — including all elements that make up scholarly record.

- Our plan is incremental, employing traditional roles in evolving ways — we are not profit-driven so we can take long view.
Diffusion of innovations is a theory that seeks to explain how, why, and at what rate new ideas and technology spread through cultures. Everett Rogers, who popularized the theory in his 1962 book *Diffusion of Innovations*, argues that diffusion is the process by which an innovation is communicated through certain channels over time among the participants in a social system. Rogers proposes that four main elements influence the spread of a new idea: the innovation itself, communication channels, time, and a social system. To succeed, the innovation must be widely adopted to self-sustain. Within the rate of adoption, there is a point at which an innovation reaches critical mass. Our tipping point? 167 institutions agree to come onboard. Doable? YES!
We are currently looking for opportunities to talk, tinker, and test the model to find the solution that resonates best.
“We may not be capable of changing the world in one fell swoop on our own, but when we swim together in the same good direction, we become an unstoppable force.”

— Bryan Stevenson

The bottom line is that if enough institutions support open access at scale, there is more than enough funding available to support a robust scholarly information environment.
Be Informed by learning more about open access and our approach, Take Action to help make research open and accessible, and join Our Network.

http://openaccessnetwork.org/