

**EEMUG 2020**



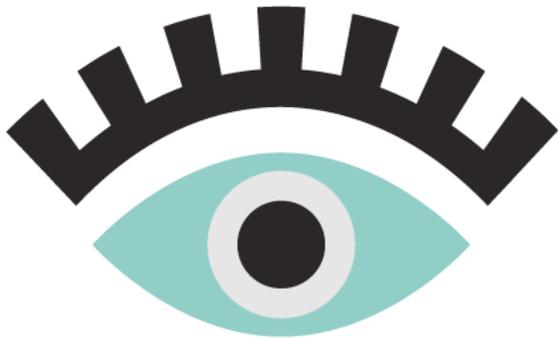
**#EEMUG2020**





# Open Access, Read & Publish and Transformative Agreements

*An overview and discussion of the various publishing payment formats and business models*



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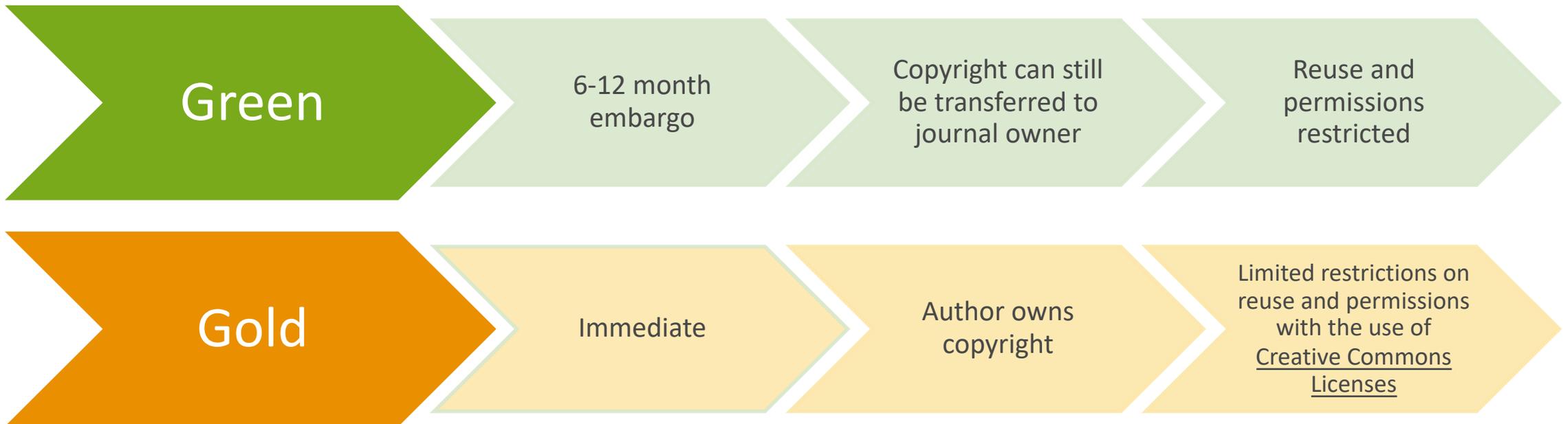
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# Open Access



- Online digital delivery of scholarly research, free of charge, and without most copyright and licensing restrictions
- Open access is not the same as free

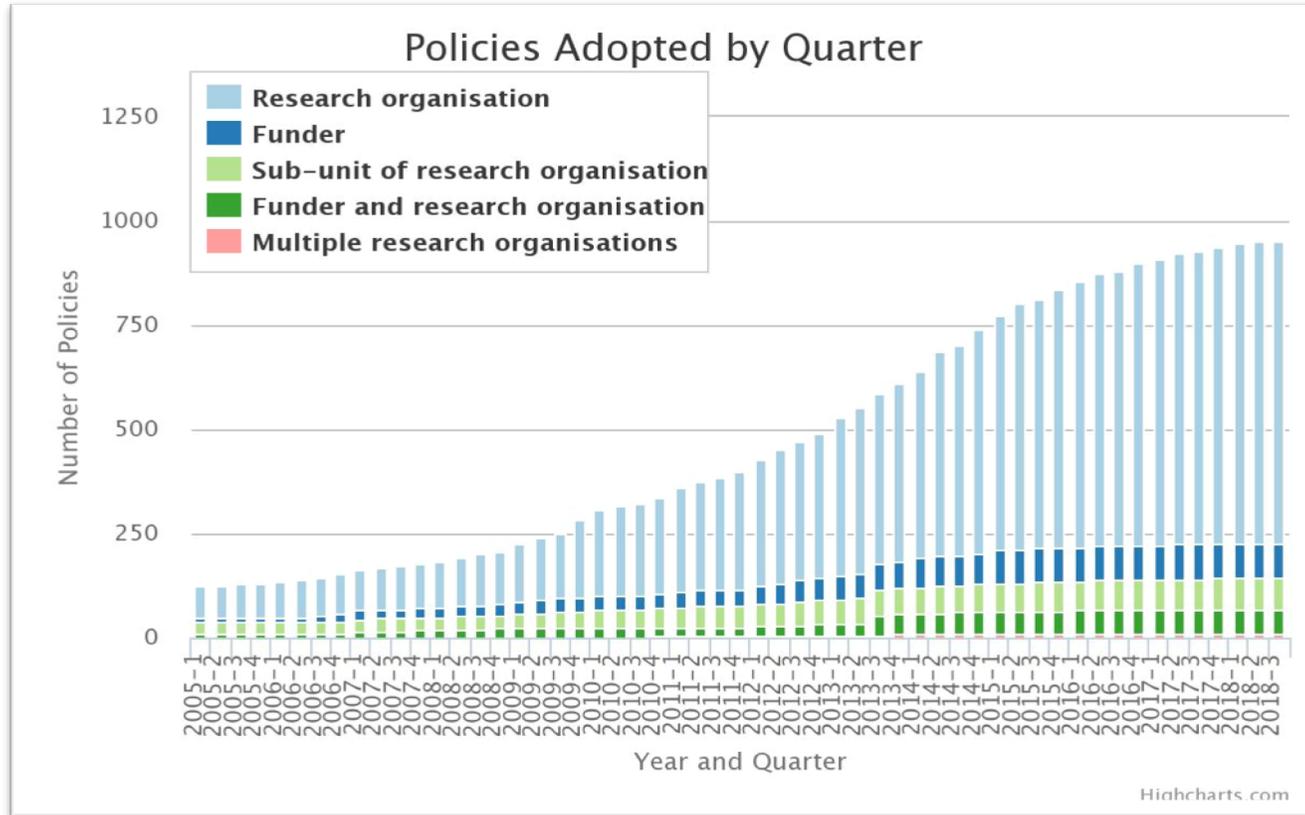


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# Open access has been driven by funder policies



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Turning Discovery Into Health



Medical Research Council



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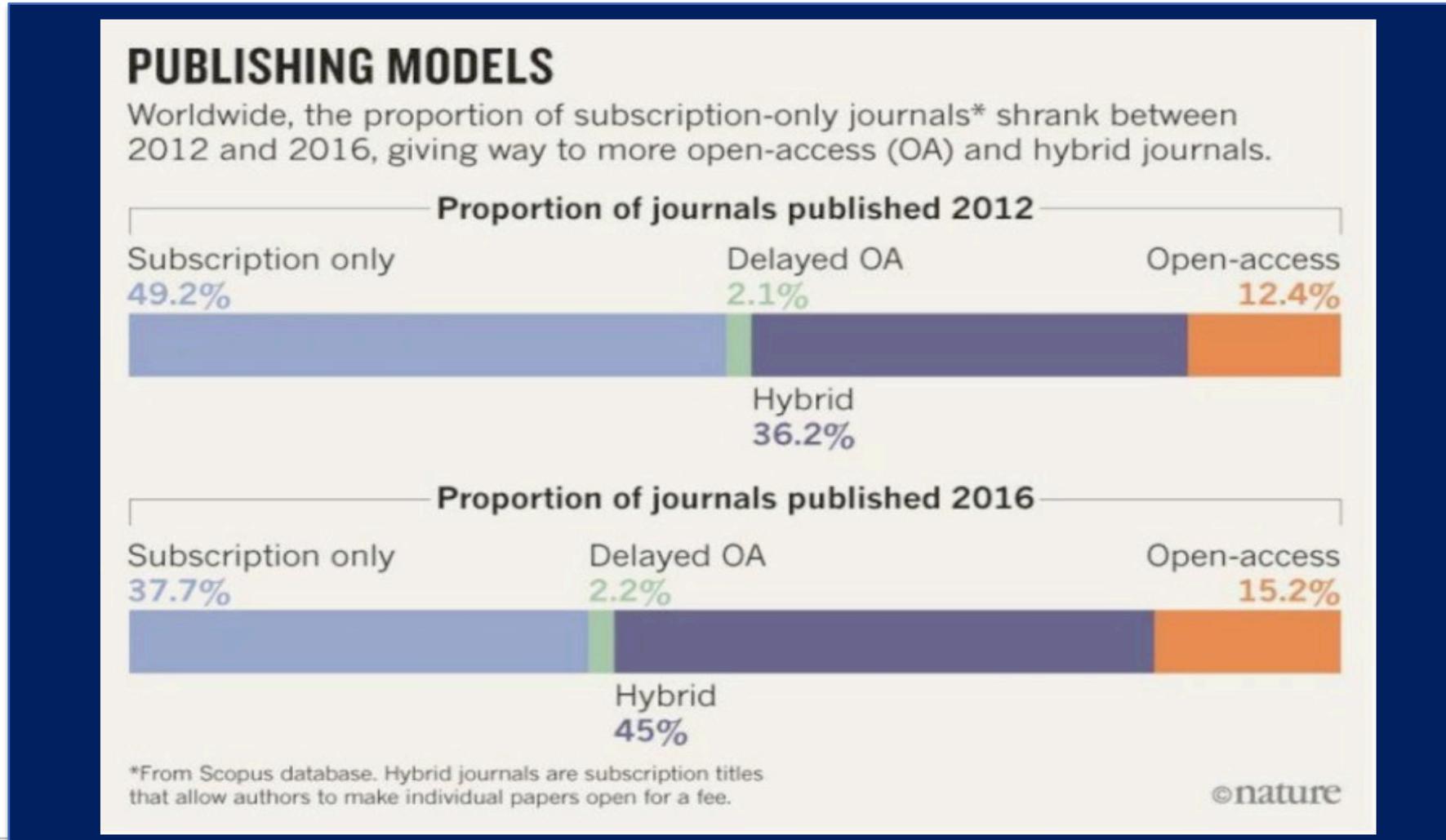
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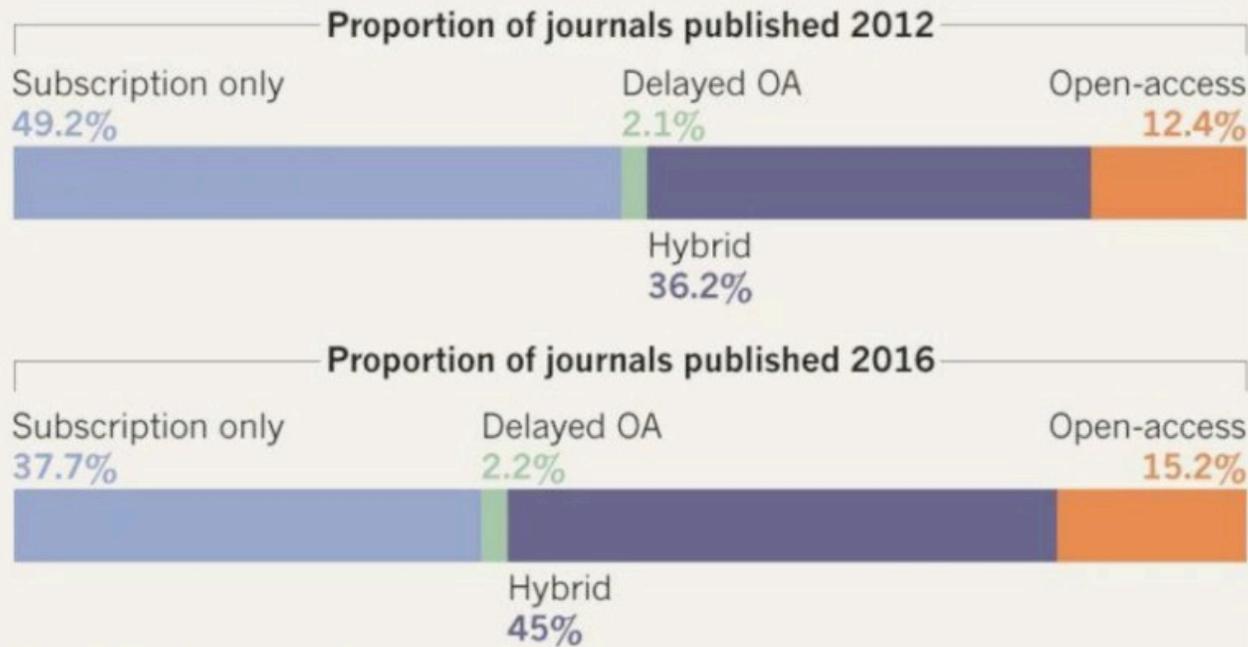
# Open Access mandates are rapidly changing and predictability has become....



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## PUBLISHING MODELS

Worldwide, the proportion of subscription-only journals\* shrank between 2012 and 2016, giving way to more open-access (OA) and hybrid journals.



\*From Scopus database. Hybrid journals are subscription titles that allow authors to make individual papers open for a fee.

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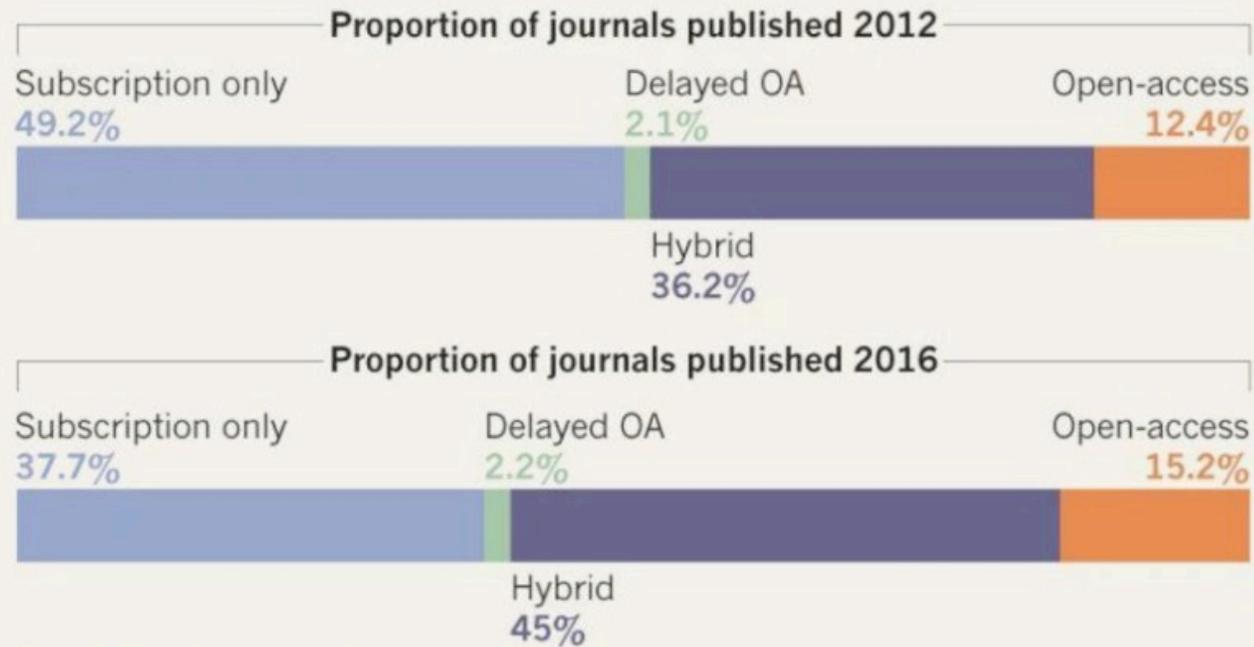
“A qualified guess is that we will have to live in this landscape of gray zones for quite a while, for good and bad.”

Rasmus Fleischer, 2008. “The Future of Copyright” *Cato Unbound*  
<https://www.cato-unbound.org/2008/06/09/rasmus-fleischer/future-copyright>

# Open Access mandates are rapidly changing and predictability has become...unpredictable!

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# Open Access Landscape

996 open access policies and mandates are currently included in the Registry of Open Access Repository Mandates and Policies (ROARMAP)

# COAlition S revised its Implementation Guidance on Plan S on May 31<sup>st</sup> 2019 following a public consultation exercise

## cOAlition S & Plan S

- A group of mainly European national funders and charitable trusts formed a 'cOAlition' that intends to accelerate a transition to full open access to all published research
- Their 'Plan S' requires every paper funded by its participants to be made freely available in fully OA publications. Publication in hybrid journals may continue under 'transformative agreements' until 2024
- The updated guidance from cOAlition, which funds around 4% of global research output, delayed commencement from January 2020 to January 2021
- Individual funders and agencies will now publish their own policies. UKRI which accounts for ~70% of research funded by cOAlition S plan to announce a policy in March 2020
- UKRI policy is likely to support 'Gold' open access and a transition to full open access with grants issued from 2021 being subject to the new policy. Likely that UKRI policy will affect journal articles from 2022



# Plan S Principles

**“With effect from 2021, all scholarly publications on the results from research funded by public or private grants provided by national, regional and international research councils and funding bodies, must be published in Open Access Journals, on Open Access Platforms, or made immediately available through Open Access Repositories without embargo.”**

## **The 10 Principles also include:**

- Authors or their institutions retain copyright to their publications. All publications must be published under an open license, preferably the Creative Commons Attribution license (CC BY), in order to fulfil the requirements defined by the Berlin Declaration
- Where applicable, Open Access publication fees are covered by the Funders or research institutions, not by individual researchers; it is acknowledged that all researchers should be able to publish their work Open Access
- The Funders will monitor compliance and sanction non-compliant beneficiaries/grantees;
- The Funders commit that when assessing research outputs during funding decisions they will value the intrinsic merit of the work and not consider the publication channel, its impact factor (or other journal metrics), or the publisher.

# Funders that endorse Plan S

## National funders



## Charitable foundations



## European funders



# Plan S Compliance: three routes for being compliant

	<b>Open Access publishing (journals or platforms)</b>	<b>Subscription (repository route)</b>	<b>Transition of subscription (transformative arrangements)</b>
<b>Route</b>	Authors publish in an Open Access journal or on an Open Access platform.	Authors publish in a subscription journal and make either the final published version (Version of Record (VoR)) or the Author's Accepted Manuscript (AAM) openly available in a repository.	Authors publish Open Access in a subscription journal under a transformative arrangement.
<b>Funding</b>	cOAlition S funders will financially support publication fees.	cOAlition S funders will not financially support 'hybrid' Open Access publication fees in subscription venues.	cOAlition S funders can contribute financially to Open Access publishing under transformative arrangements.

# “Transformative” agreements

- **Seek to shift the contracted payment from a library or consortia away from subscription-based reading and towards open access publishing**
- Libraries seek to shift from paying subscriptions to paying for publishing with the goal of moving towards an open access ecosystem
- Require that copyright be retained by the author under a Creative Commons license and not transferred to the owner. CC BY License is typically required
- Sometimes an overview of the terms of the agreement are made publicly available
- Seek a shift away from payment to read and towards payment to publish

# “Read-and-Publish” vs “Publish-and-Read” agreements

- Transformative agreements are often described as either Read-and-Publish or Publish-and-Read
- Under a **Read-and-Publish agreement** the publisher receives payment for reading and payment for publishing bundled into a single contract
- This bundling together brings payment for publishing into a contractual arrangement rather than being addressed *ad hoc* by individual authors who are choosing open access publishing
- Under a **Publish-and-Read agreement** the publisher receives payment only for publishing and reading is included for no additional cost
- Under both models the Library often has a goal of a cost-neutral agreement in comparison with the previous subscription-based reading agreement

# Journal transformations

- Some journals may wish to consider flipping to a fully open access business model in the next 5 years
- Financial sustainability of the journal under a new model will need to be assessed
- The journal's author base will, in general, need to have access to APC funding
- The journal will need to publish a sufficient number of articles at a price acceptable to the market to cover its financial commitments

# And now for the new Executive Order in the US!

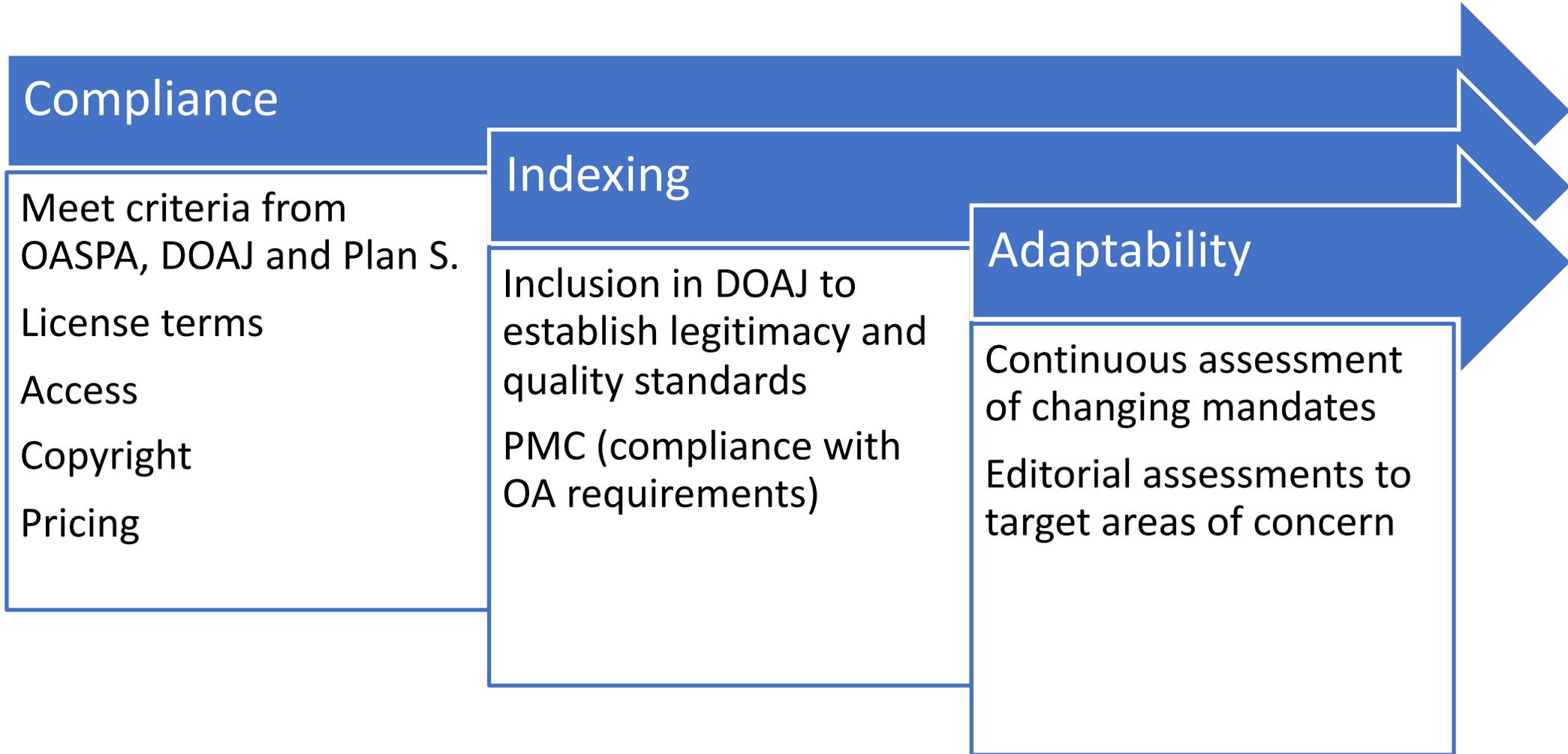
- Zero embargo
- No offer or promise of APC funding
- No clear plan or goal



**Office of Science and  
Technology Policy**

**Proposed!**

# Succeeding in the open access future will require vigilance and flexibility



Questions?