

# Transformative agreements and the research lifecycle

Patricia Killiard, Senior Deputy Director, Academic Services

# Outline

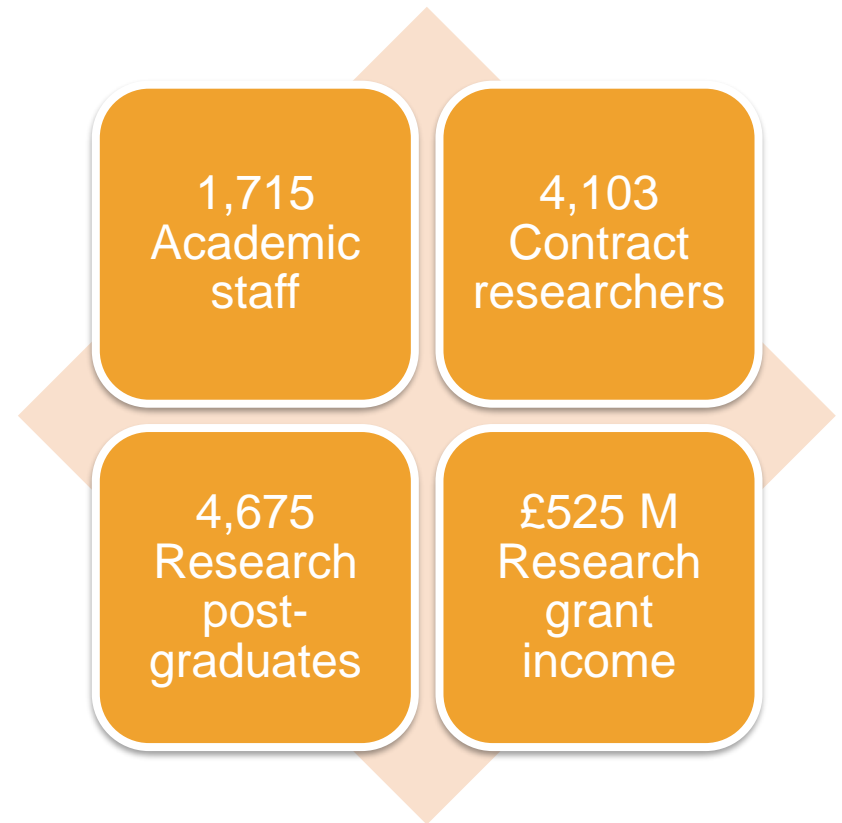
- Plan S and Transformative agreements
- Researcher relationships and the research lifecycle
  - The Researcher and funder
  - The Researcher and the institution
  - The Researcher and the library
  - The Researcher and publisher
- Rights retention
- Workflows and payments
- Questions

# A little about Cambridge research

Research support in the Library:

- Office of Scholarly Communication – Open Research, OA, RDM, Training and Advice, REF support. Starting to look at DORA implementation and Reproducibility
- Electronic Collection Management team manage Journals/TAs
- Journal Co-ordination Scheme – centralised journals fund for the University
- OA Grant funding PI

*Library works closely with University Research Information Office and Open Research Steering Committee*



# Plan S in a nutshell

- **Plan S** is an initiative for Open Access publishing that was launched in September 2018. The plan is supported by cOAlition S, an international consortium of research funders. Plan S requires that, from 2021, scientific publications that result from research funded by public grants must be published in compliant Open Access journals or platforms.”
- Transforming from x% OA publishing in year 1 to 100% by 2024 or earlier
- Research funders will allow their funds to be used but only until 2024
- ✓ **Immediate** and full OA publishing - no embargoes
- ✓ Authors retain **copyright** in their publications
- ✓ Research must be published with **Open licenses**
- ✓ Funder support for **Hybrid** OA publishing will end *but until 2024 it will be supported provided that journal agreements are transformative* (Cambridge doesn't pay for Hybrid OA)
- ✓ Fees for publication services must be **transparent**

# Transformative agreements

Pre-transformative agreements	Transformative agreements
Journal subscriptions allow users to read journal articles	Single fee to read-and-publish
APC payments to publishers allow researchers to publish OA in Gold or Hybrid journals	Transforming from x% OA publishing in year 1 to 100% by 2024 or earlier
Research funders allow funds to be used for APC payments & other selected publishing platforms	Research funders will allow their funds to be used for TAs but only until 2024

# Elements of a Transformative Agreement

Journals covered by the agreement	<i>May not be all titles issued by the publisher</i>
Agreement period and opt-out arrangements, if any	<i>An annual opt-out or opportunity to opt out at the end of the first year may be offered. Usually desirable.</i>
Price, annual % rise (if any), and basis for pricing	<i>Pricing should move away from historic spend. Ideally a TA should cost no more than the previous subscription Are OA payments “in the wild” counted in?</i>
OA publishing allowance and any caps on the	<i>Should aim to achieve 100% OA publishing by the end of the agreement or 2024, whichever is the earlier.</i>
Post-Cancellation access options	<i>Essential for future negotiating position. Is this to all titles in the agreement or just previously subscribed?</i>

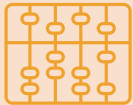
# Issues with TA's affecting OA Publishing



Not all journals within a publisher's output will be included in OA publishing arrangement, e.g., if they publish on behalf of a learned society

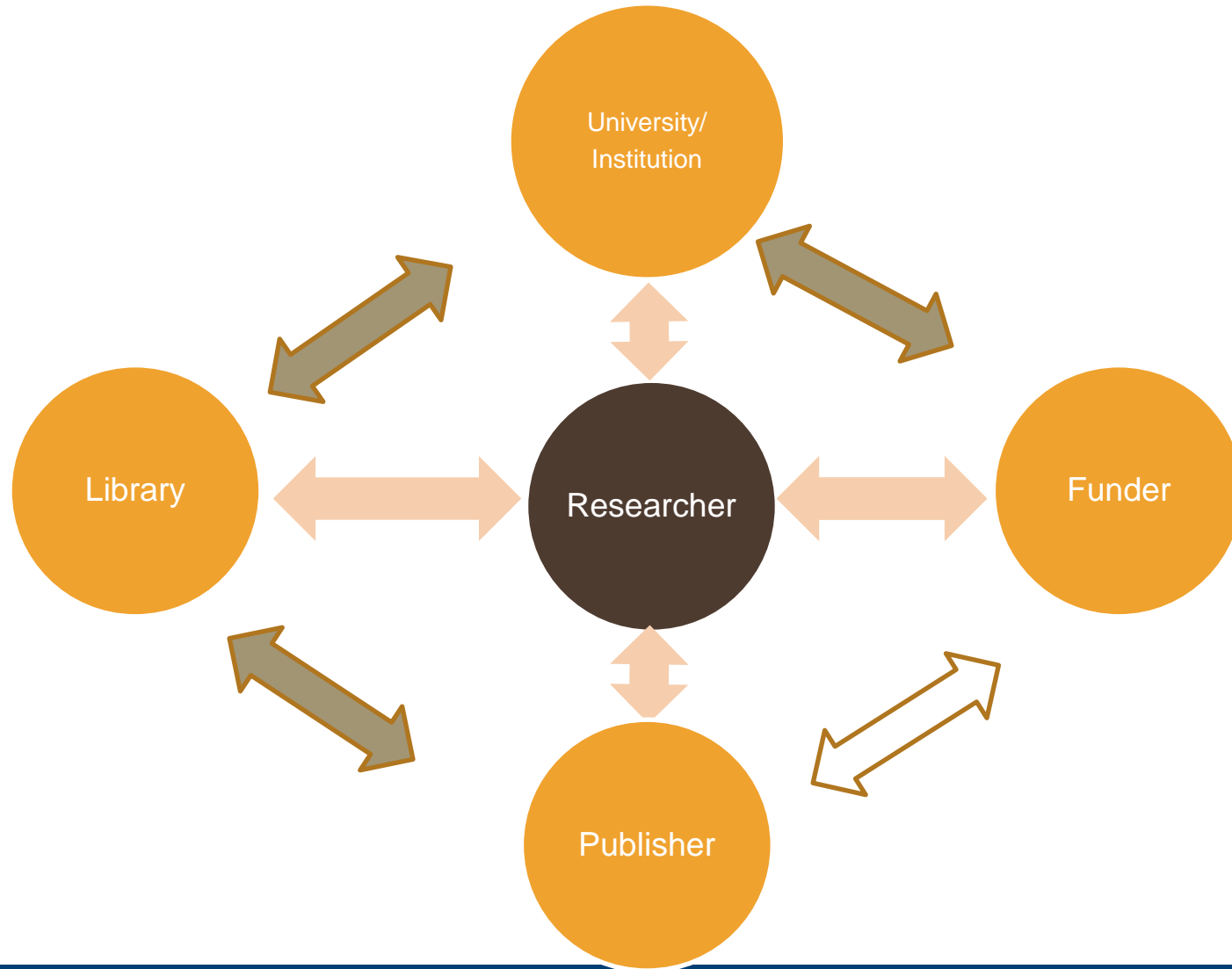


OA caps - percentage of article output of an institution or a consortium that will be published OA is set by year, e.g. 80% - it may well run out



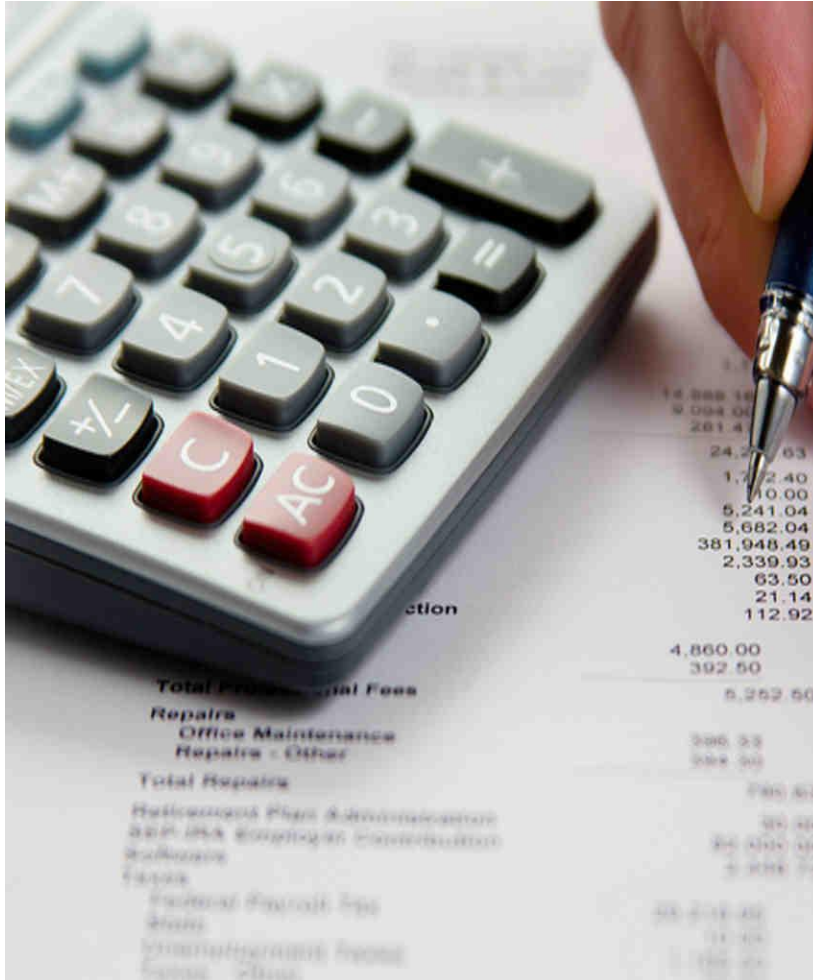
Articles above the cap are charged at an agreed APC rate leaving institution to find additional funding – which may not always be available

# Researcher relationships





# The researcher and the funder



- Start of the lifecycle
- Sets publishing and other requirements as a condition of grant
- Grant letter embodies the funder's OA policies
- Sets rights retention strategy which has an impact on transformative agreements

# Grant conditions – British Heart Foundation



7.1 The findings from the research funded by the Grant should be made freely available to the broader scientific community as soon as possible.

7.2 Grant Holders must comply with BHF's Policy on Open Access and deposit within Europe PubMed Central an electronic copy of each paper funded wholly or in part by BHF, that is accepted for publication in a peer reviewed journal, within 6 months of publication.

# Grant conditions – Wellcome Trust



All original research articles supported in whole, or in part, by Wellcome must be:

- made freely available through PubMed Central (PMC) and Europe PMC by the official final **publication date** And
- published under a Creative Commons attribution licence (**CC BY**), unless we have agreed, as an exception, to allow publication under a CC BY-ND licence.

Policy applies to all research articles submitted for publication from 1 January 2021

Researchers and organisations who do not comply with the OA policy will be subject to appropriate sanctions . These may include

> **not accepting new grant applications**

> **suspending funding to organisations in extreme cases**

# The Researcher and the institution



Institution/University will (probably) have OA publication policies. The **Cambridge OA Publications Policy Framework** states:

The **University** will *“provide a central OA service that helps authors to comply with all the relevant OA requirements”*

Responsibilities of **Researchers** include:

- *“To upload all their journal articles and conference proceedings to the University’s OA Service as soon as possible after they have been accepted for publication and no later than 3 months after this date (REF policy)”*
- *“To ensure their journal choice is compliant with their funders’ requirements”*
- *“To ensure their papers are published with the correct licence according to their funders’ requirements.”*

- The Institution works at a number of levels – research governance, faculty/department, research group, PIs – each influencing the publishing behaviour of the



# The Researcher and the Library – Guidance and support



The Library offers:

- Information based on what OA publishing is affordable
- Open Research training and guidance on publishing
- OA Helpdesk
- OA Information on which journal titles and publishers are Transformative where they can publish without charge – Cambridge UL published its own [Plan S journal checker](#)
- Transformative agreements – usually signed by the Library but in some institutions the OA funding will be held elsewhere

# Read and publish deals – what we tell the researcher

No charge to publish their articles OA if a research or review article

Costs are met centrally by the Library

Currently ca. 6,000 journals from 15 publishers covered.

List at

<https://www.openaccess.cam.ac.uk/publishing-open-access/read-publish-journals>

Corresponding author must use @cam.ac.uk email address

Aiming for 100% OA by 2024

If no journal is available you can still publish OA via the Green route in Apollo, Cambridge's OA repository, or a subject repository



# The Researcher and the Publisher: for transformative agreements the publisher will provide:



Eligibility criteria – **who** can publish (corresponding authors in institutions participating in TAs)



Guidance on **what** they can publish under TAs – usually restricted to primary research and review articles



Workflows – which should be frictionless



Funder compliance guidance



Rights retention requirements

# Choosing where to publish - what researchers considered pre-Transformative Agreements

- ✓ relevance of the journal for the research and credibility
- ✓ reputation – including connection to an institution or learned society
- ✓ status of the journal amongst peers – reputation
- ✓ likelihood of being accepted for the journal
- ✓ impact factor, h-index etc.
- ✓ quality of the editorial process
- ✓ speed of publication
- ✓ openness of the journal



## Choosing where to publish now – what researchers need to know about Transformative Agreements

- It will meet their funder's requirements to publish their AAM immediately but ...
- ... may not meet the requirement in relation to publishing with a CC-BY license
- It is much simpler than negotiating with the Library over whether they will fund publication from block grants but ...
- ... there may be a cap on the number of OA articles accepted by publication without further charge in any year, especially for the first couple of years of an agreement
- They will need to ensure that the rights retention policy of the publisher matches that of the funder, often from submission of the article for publication

# Rights retention

- Transformative agreements will usually include a rights retention clause, or the publisher will have a default policy
- Most TAs allow researchers to retain rights over their publications **but** not always with the CC-BY license to satisfy the publisher.
- Wellcome Trust - author rights retention (ARR) and deposit of the author accepted manuscript (AAM) in a repository under a CC BY licence *without an embargo*

**Even if the publisher policy conflicts with the funder's** the Researcher must:

- Reserve the right to publish immediately OA with a CC-BY license **when they submit for publication**

The researcher's relationship with the funder then trumps the relationship with the publisher ...

But the funder's research grant comes to the Institution

An option is for the Institution to take responsibility for notifying publishers of the conditions relating to research grant-funded publications and rights retention

# Workflows and payments

- Digital licensing systems channel **eligible** authors to select the OA option specified in the R&P agreement in a *Touch-free* process
- Recognise the corresponding author's affiliation and route them down a 'default OA' journey upon acceptance, presenting them with the appropriate license to complete and sign digitally
- Incorporate the transition from copyright transfer to new standard licensing terms for authors, whereby the author retains copyright

How to recognise the **Corresponding author's affiliation** in a complex network?

- @cam.ac.uk address? We try to use a xxxcam.ac.uk match.
- Manual intervention to the dashboard? Not always scalable.
- Publisher may provide a list of corresponding authors to the institution to check

First author listed is Cambridge; or last?

Non-eligible co-authors have the option to publish via the Green route

# Questions?

[pk219@cam.ac.uk](mailto:pk219@cam.ac.uk)

<https://www.openaccess.cam.ac.uk/publishing-open-access/read-publish-journals>

