



o p e n a c c e s s
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The open access transition and the impact of transformative agreements

UKSG - The Open Access Lifecycle Seminar 2021
9 March 2021

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Open Access 2020 Initiative | Max Planck Digital Library

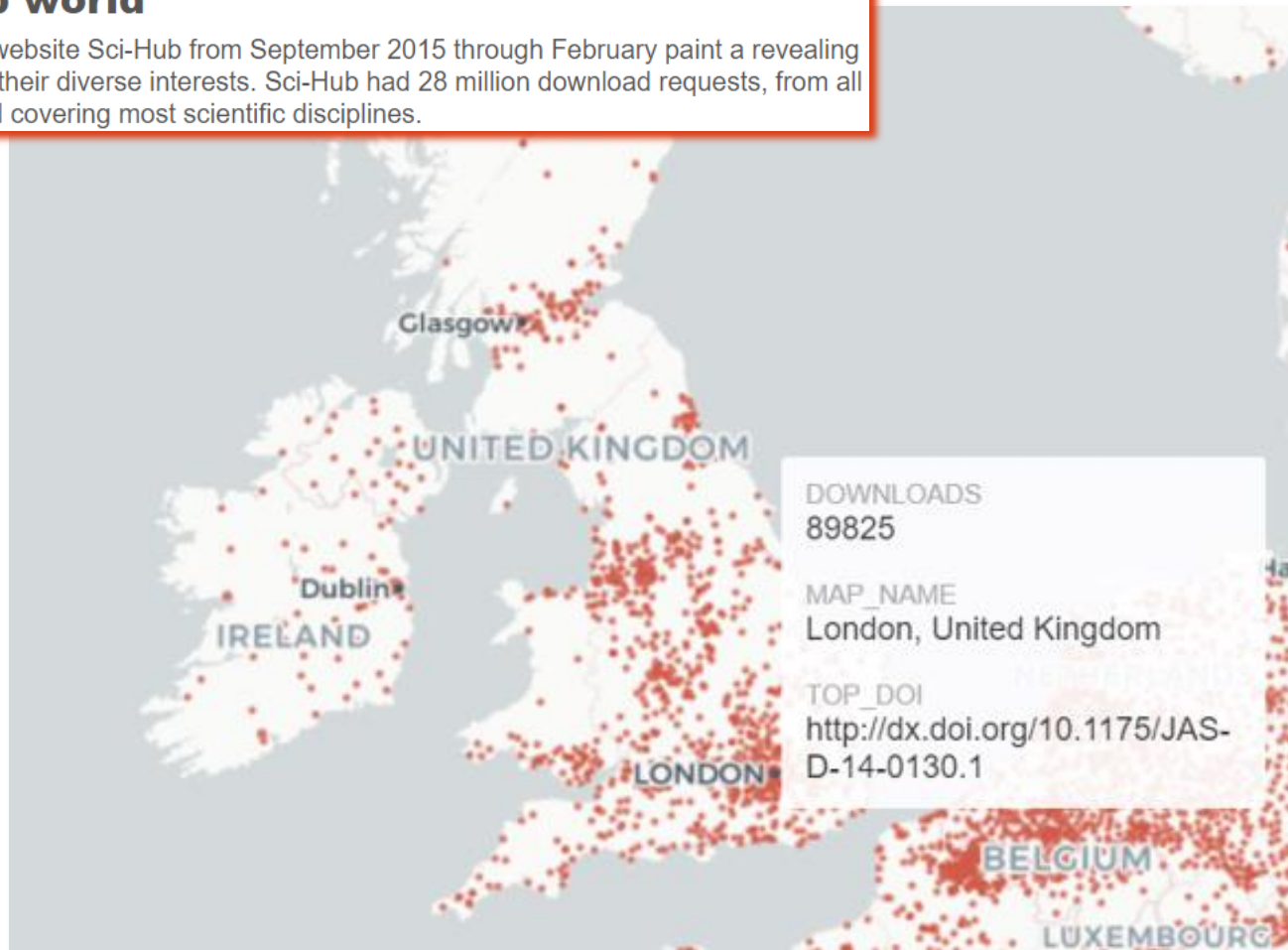


@oa2020ini

The expectations of researchers

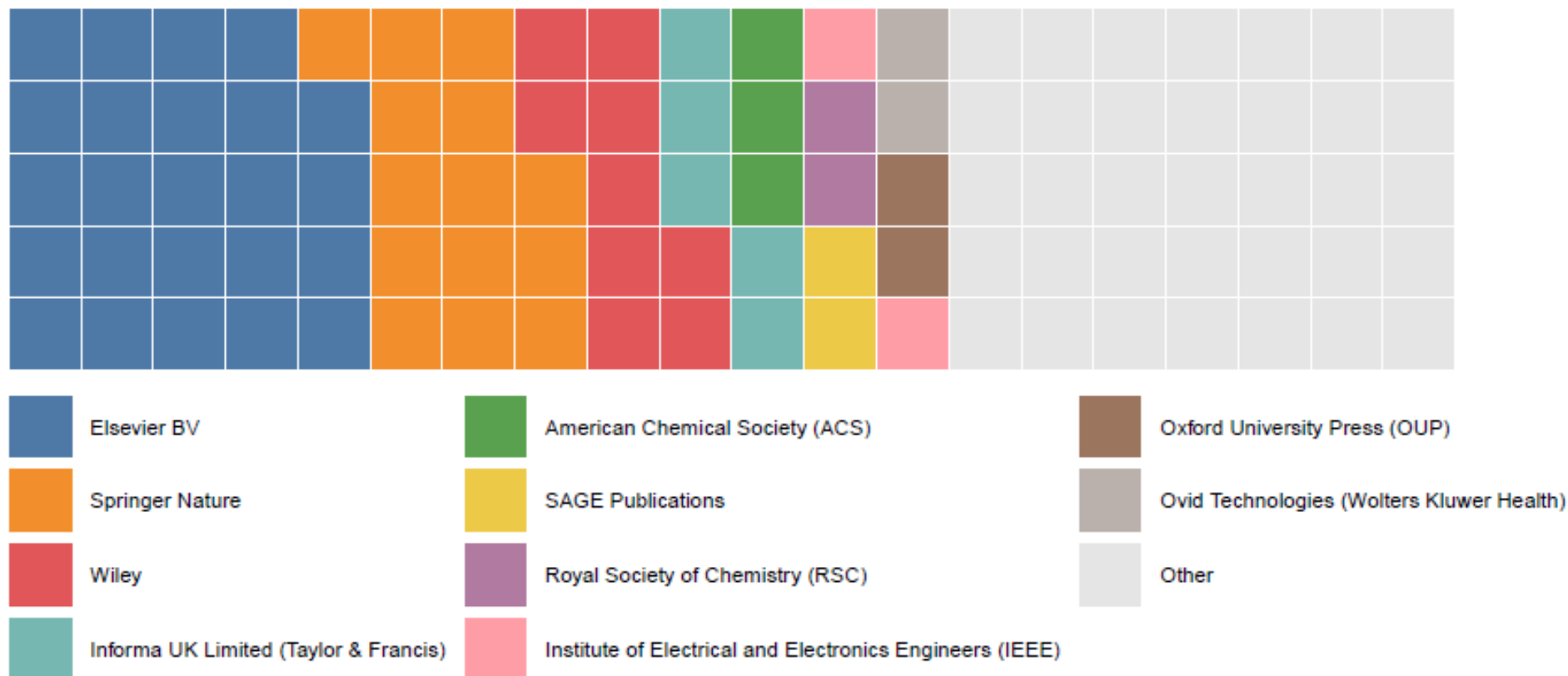
It's a Sci-Hub world

Server log data for the website Sci-Hub from September 2015 through February paint a revealing portrait of its users and their diverse interests. Sci-Hub had 28 million download requests, from all regions of the world and covering most scientific disciplines.



The scholarly publishing landscape

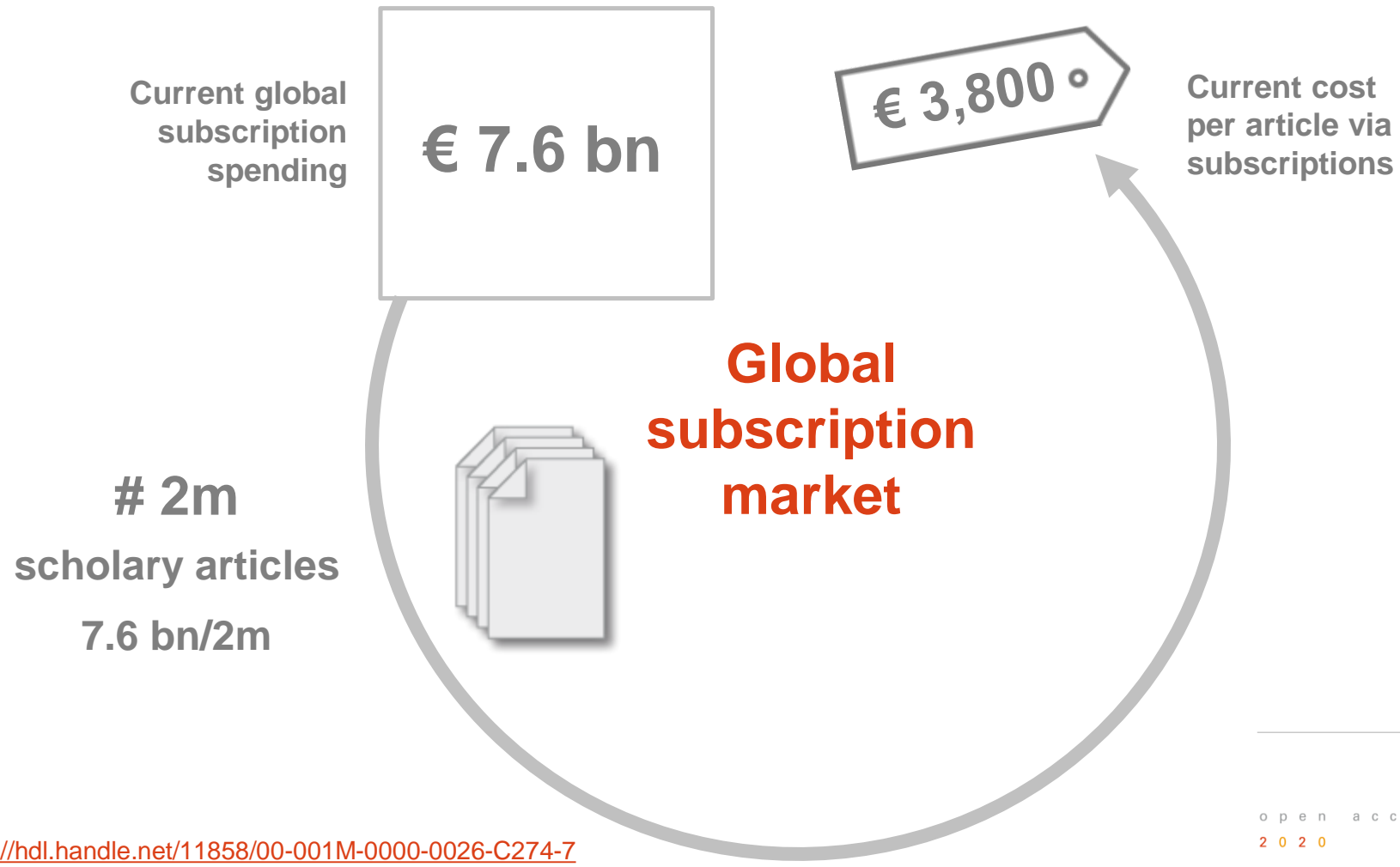
Global Publisher Market Share indexed in the Web of Science between 2014–18



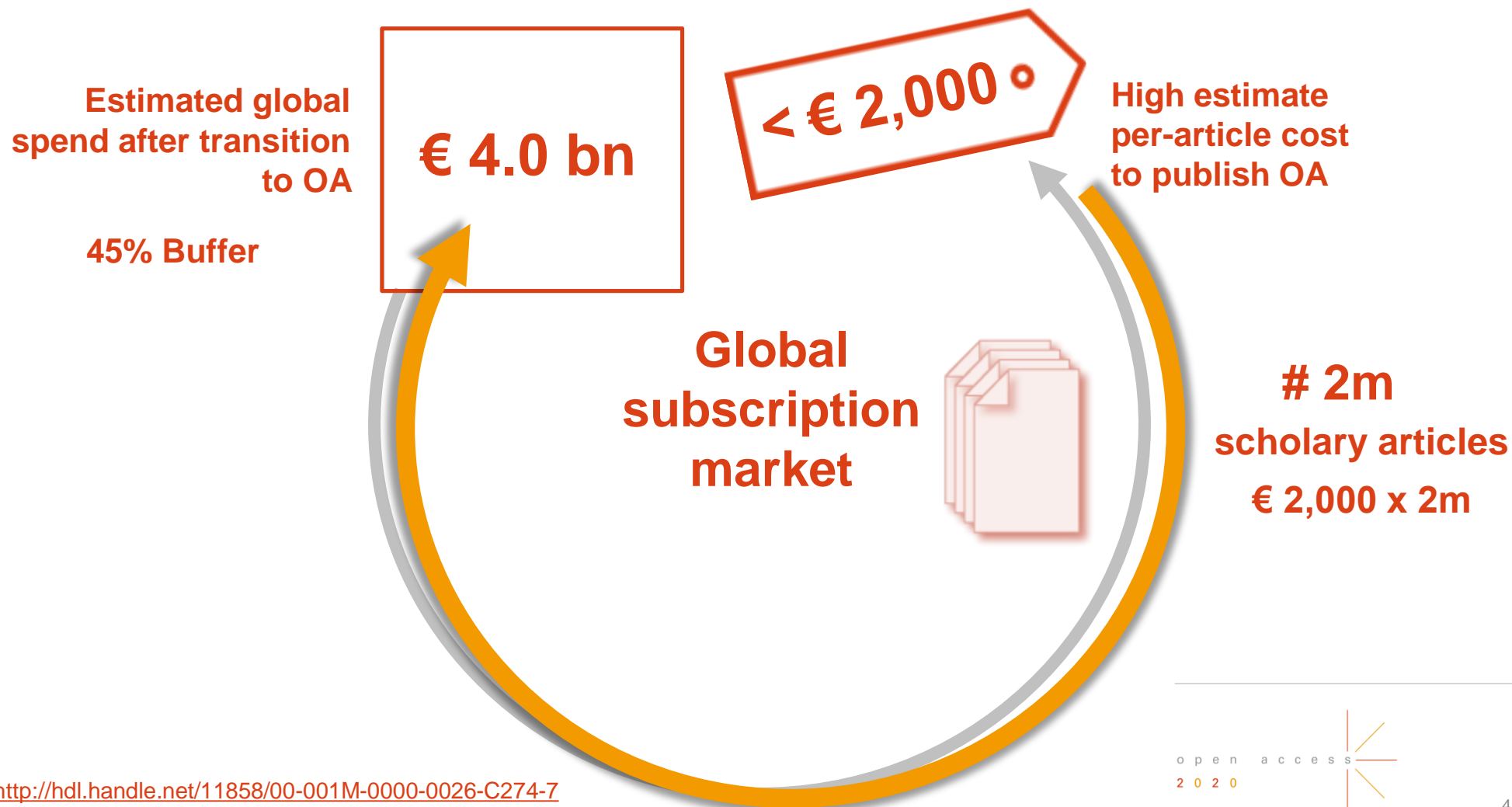
github.com/subugoe/oa2020cadata

Data Sources: Web of Science in-house database Competence Centre for Bibliometrics for German Science.
Publisher names were disambiguated using Crossref metadata. OA status obtained from the Bielefeld GOLD OA list.
Funding: Federal Ministry of Education and Research of Germany (BMBF), Project OAUNI (01PU17023A)

The financial implications of subscriptions



There is already enough money in the system to sustain a transition to OA



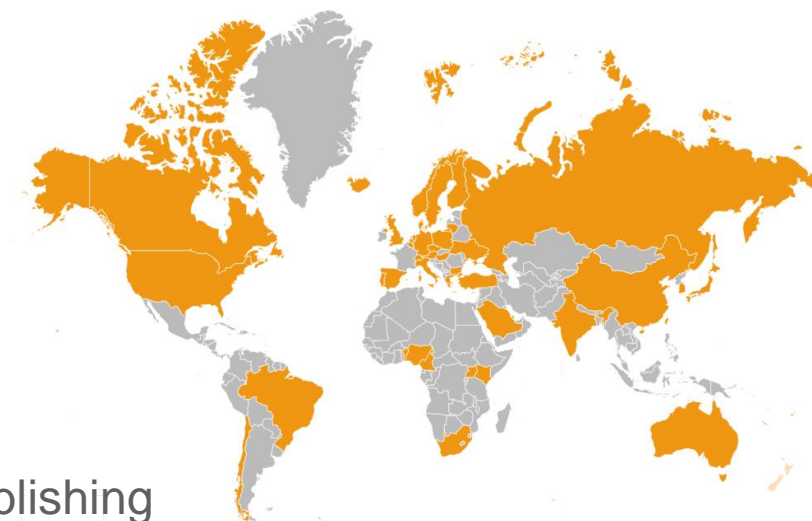
A global initiative to face publishers at eye level

Open Access 2020 Initiative

We aim to **transform** a majority of today's **scholarly journals from subscription to OA** publishing in accordance with community-specific publication preferences. At the same time, we continue to **support new and improved forms of OA** publishing.

We will pursue this transformation process by **converting resources currently spent on journal subscriptions into funds to support sustainable OA business models.**

Accordingly, we intend to **re-organize the underlying cash flows**, to establish **transparency** with regard to **costs and potential savings**, and to **adopt mechanisms to avoid undue publication barriers.**



Transformative Agreements (TAs)

Former subscription payments are repurposed to cover open publication of a country or institution's research articles, eliminating author-facing APCs.

Scholarly publishing services and journals valued by authors are preserved.

Financial streams are restructured to enable open access publishing and a more transparent and competitive market.

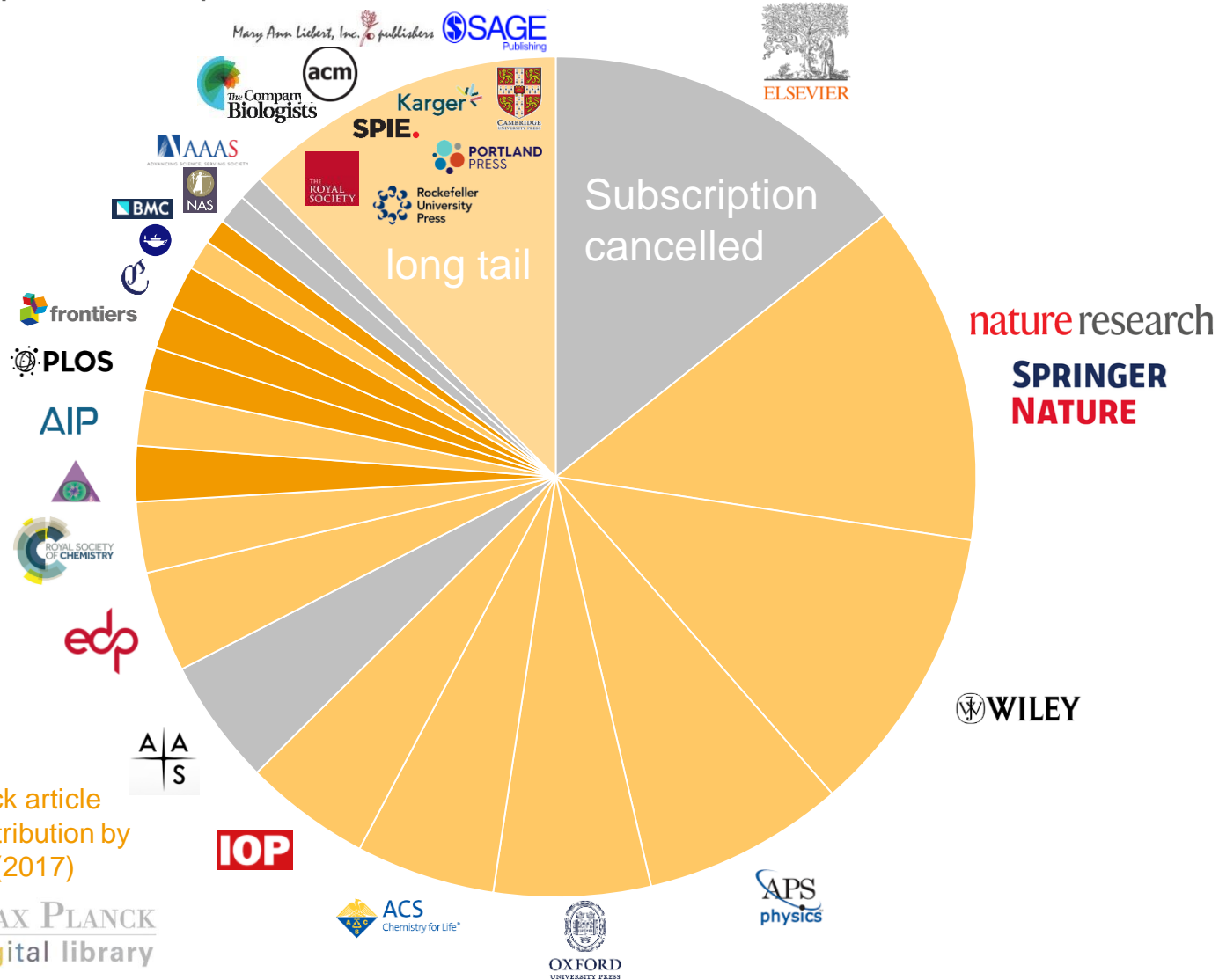
- ✓ Authors retain copyright, (all) articles published open access
- ✓ Constrain and reduce costs, no double-dipping
- ✓ Transparent cost/service
- ✓ Temporary and transitional toward a complete and definitive shift to OA

Resource: <https://www.jisc.ac.uk/guides/working-with-transitional-agreements>

<https://esac-initiative.org/about/transformative-agreements/>

Open access where authors choose to publish

Negotiation objectives of the Max Planck Digital Library: 100% of Max Planck Society authored papers published open access



By negotiating **transformative agreements** with even just the top 20 publishers with whom our authors publish we can already secure open access for over 80% of our outputs.

Max Planck article output distribution by publisher (2017)

The power of alignment between research funding and research performing organizations

“**cOAlition S** strongly encourages institutions and consortia to develop new transformative agreements and will only financially support agreements after 1 of January 2021 where they adhere to the ESAC Guidelines.”

There are three routes for being compliant with Plan S:

	Open Access publishing venues (journals or platforms)	Subscription venues (repository route)	Transition of subscription venues (transformative arrangements)
Route	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.
Funding	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.

Myriad transitional models

Springer Nature Wiley
Elsevier Informa (Taylor & Francis)
American Chemical Society (ACS)
SAGE Publications
Royal Society of Chemistry (RSC)
Institute of Electrical and Electronics
Engineers (IEEE) Wolters Kluwer Health
Oxford University Press Emerald
Cambridge University Press

Karger Microbiology Society
AIP Publishing DeGruyter
Portland Press Brill
The Royal Society IWA Publishing
IOPP EDP Sciences
American Physical Society
Bioscientifica
Cold Spring Harbour Laboratory Press
European Respiratory Society
Future Science Group
Rockefeller University Press

Annual Reviews
Pluto Journals EMS Press
De Gruyter IWA Publishing
EDP Sciences
Association for Computing
Machinery (ACM)

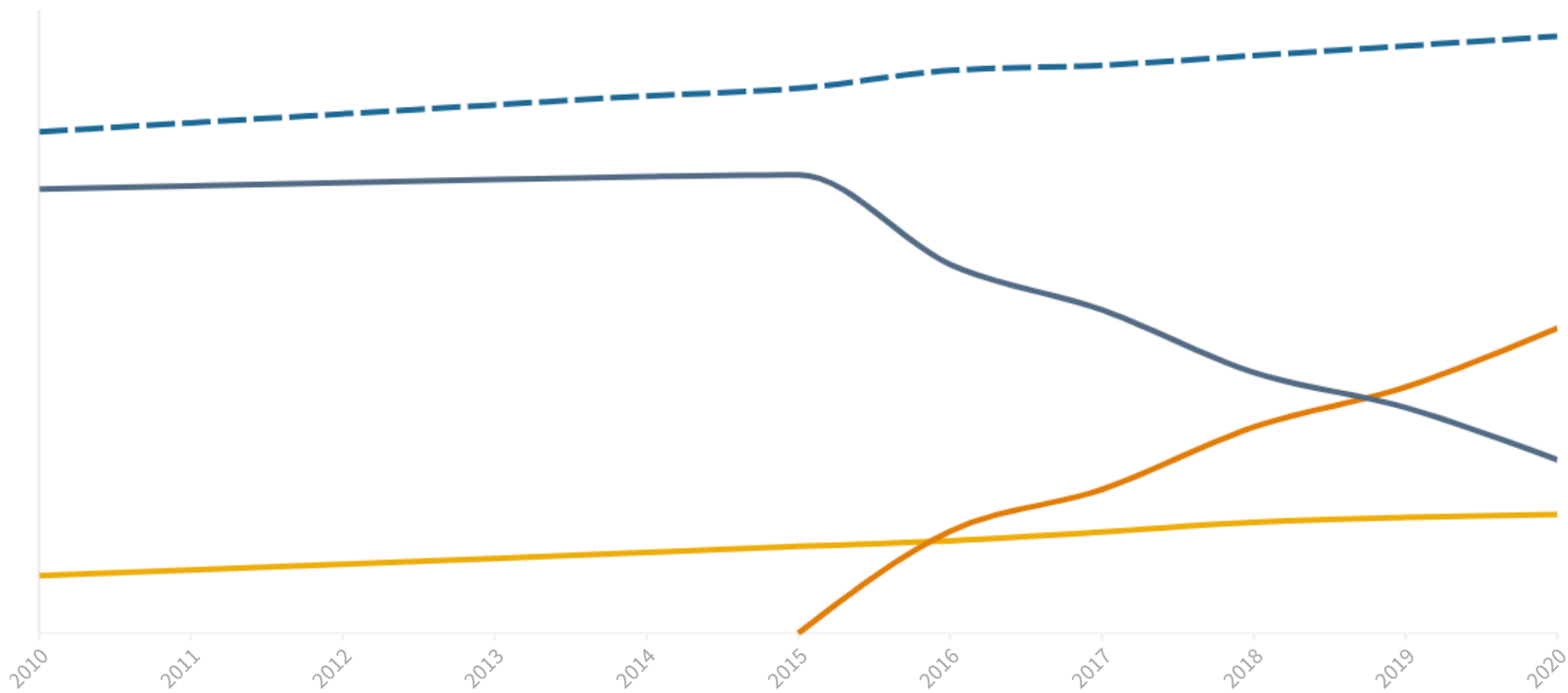
CSIRO Akadémiai Kiadó
Royal Irish Academy
Royal College of General Practitioners
The Geological Society of London

Nature

Tide-turning potential of TAs

Case study: Netherlands

■ Total ■ Fully OA journal ■ Hybrid/Closed ■ Transformative agreement



Estimated total article output, corresponding authors, 2010-2020

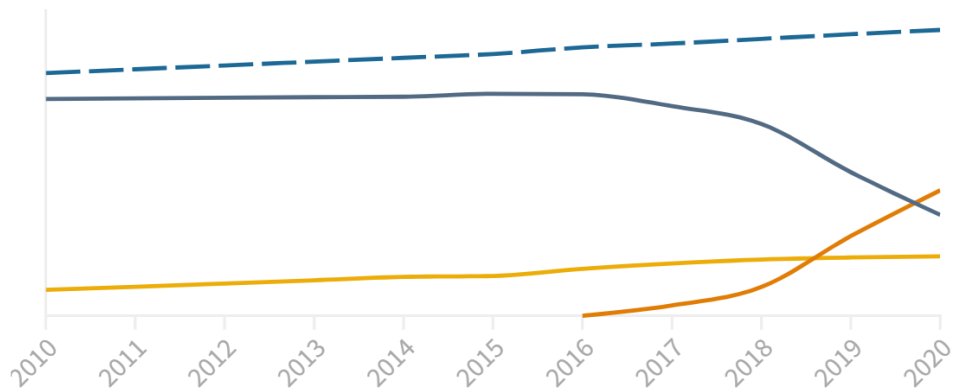
<https://github.com/subugoe/oa2020cadata>

<https://esac-initiative.org/about/transformative-agreements/agreement-registry/>

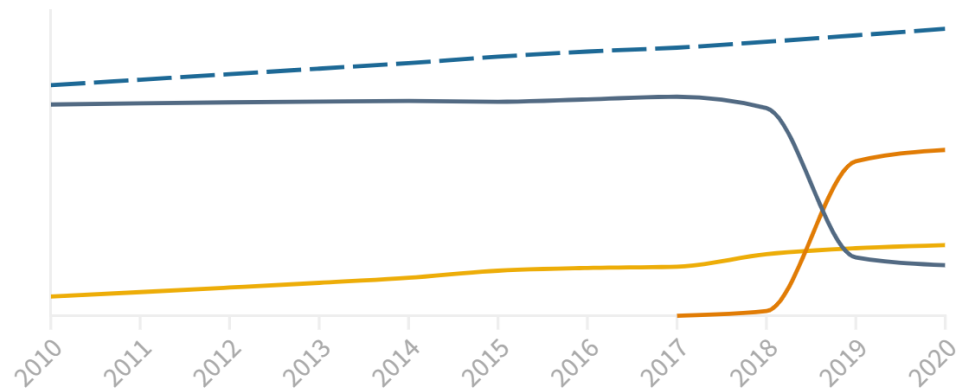
Tide-turning potential of TAs

■ Total ■ Fully OA journal ■ Hybrid/Closed ■ Transformative agreement

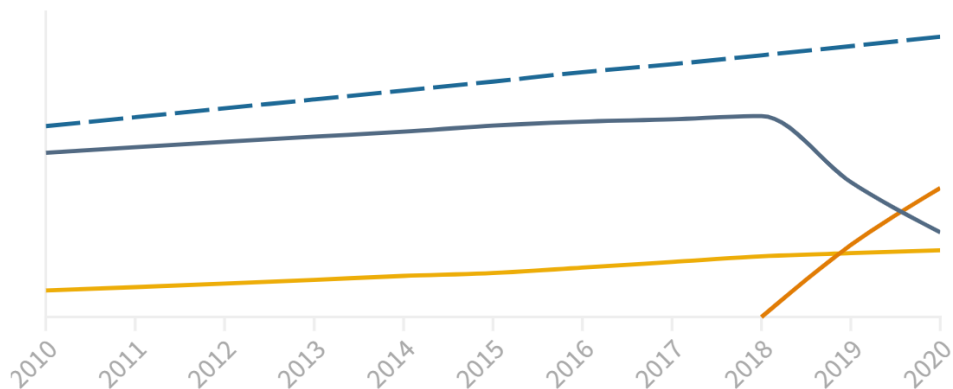
Austria



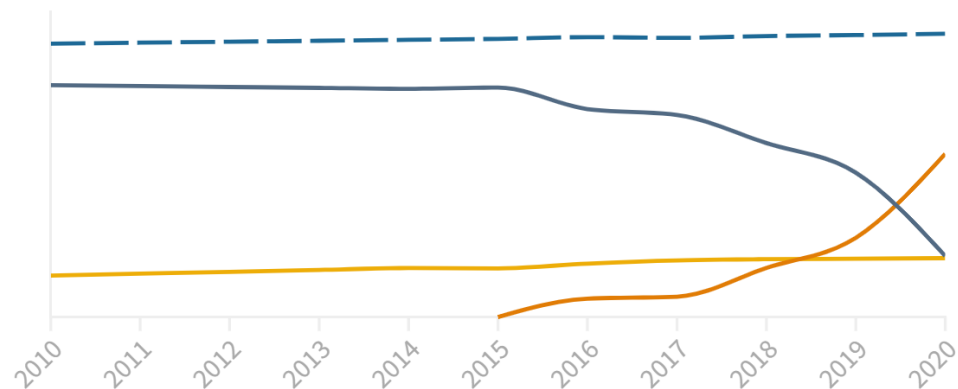
Hungary



Norway



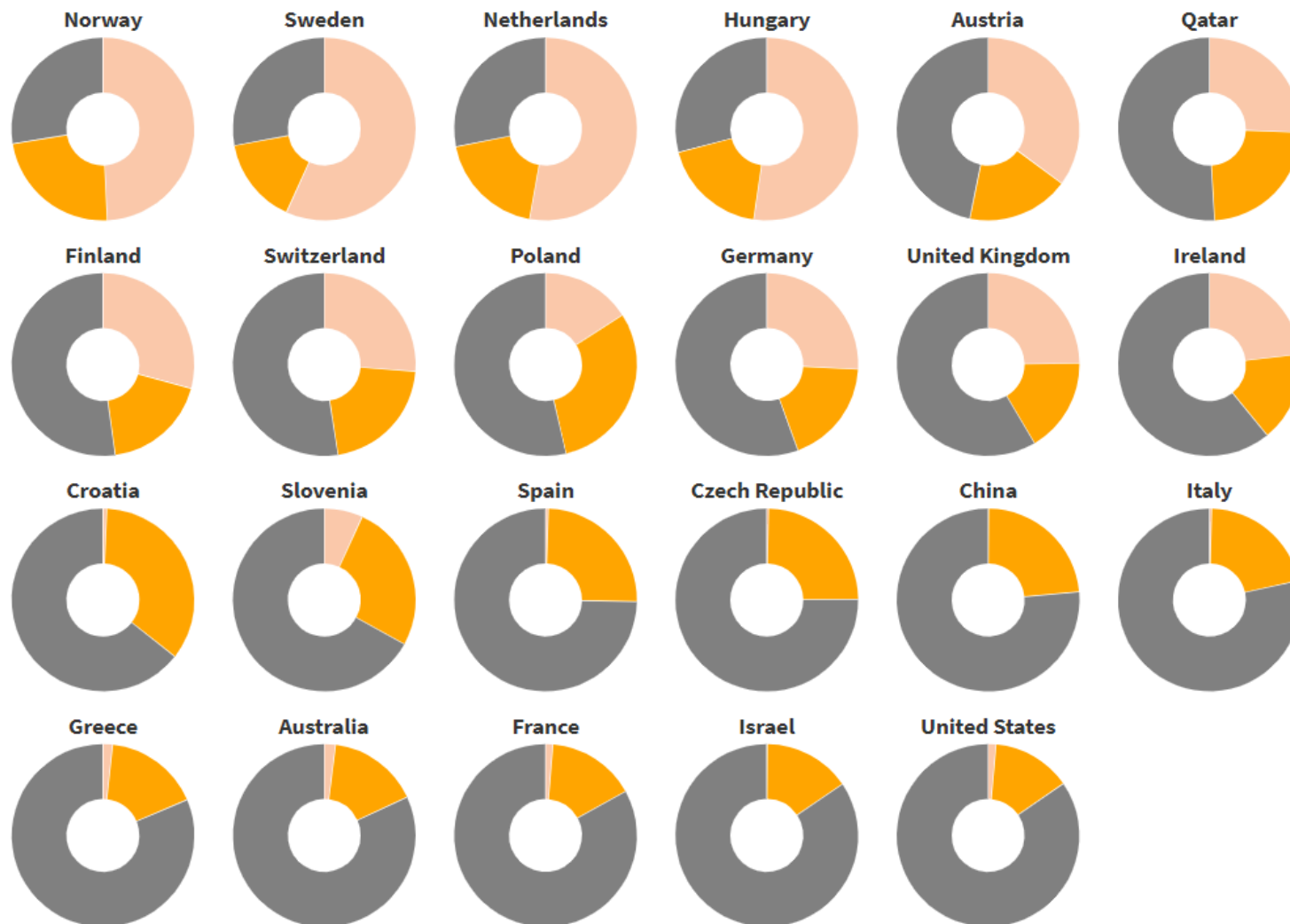
Sweden



Estimated total article output, corresponding authors, 2010-2020. Visualization by Adam Der, Max Planck Digital Library
<https://esac-initiative.org/about/transformative-agreements/agreement-registry/> <https://github.com/subugoe/oa2020cadata>

First movers already well beyond 50% OA

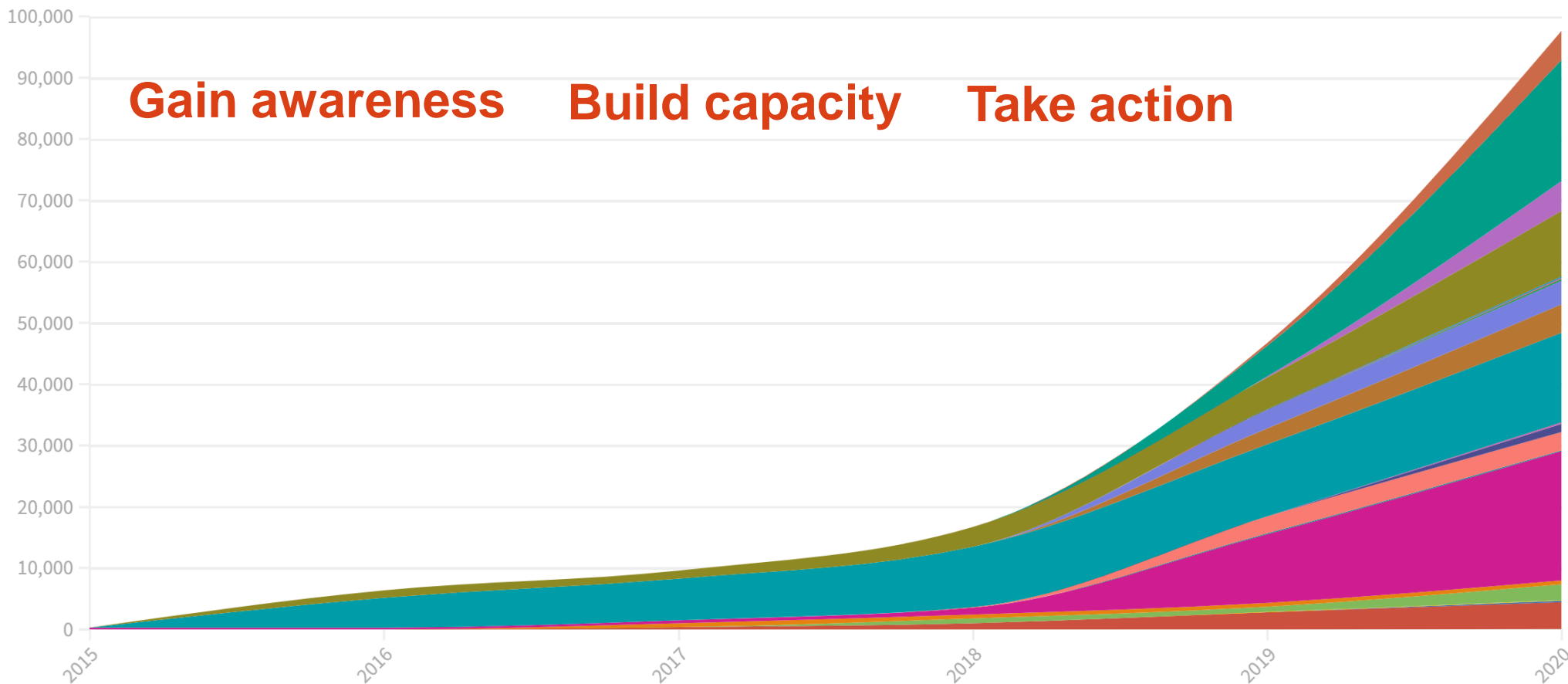
Transformative agreement Fully OA journal Hybrid/Closed



Newcomers
joining the ranks
and bringing up
the rear

Open access enabled

Australia Austria China Croatia Czech Republic Finland France Germany Greece Hungary Ireland Israel Italy Netherlands Norway Poland Qatar Slovenia Spain Sweden Switzerland United Kingdom United States



Number of articles covered by transformative agreements

<https://esac-initiative.org/about/transformative-agreements/agreement-registry/>

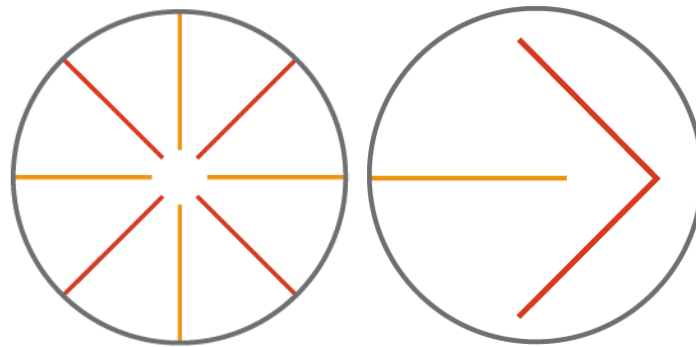
The next step in the OA transition

- The OA2020 community has demonstrated that transformative agreements are truly **viable strategy** to achieve **open access on a large scale** in a matter of a **few short years**.
- There are challenges, but with each step forward, we gain a **new vantage point**. Through our alignment as a global community we can address these challenges.
- Our next milestone will be achieved with the **proliferation of transformative agreements**, to make the transition irreversible.
- Transformative agreements with traditional subscription publishers need to be **complemented** by extended support for new and improved **fully open access publishing venues and platforms**

A framework for future-ready orientation

Transformative agreements are a viable framework in which the ***logic***, ***operations***, and ***financial streams*** of the subscription-based system in scholarly communication can be shifted to **support open dissemination** of an institution or consortium's research outputs.

Thank you!



Participate
in **OA2020**

Accelerate
the transition

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<https://oa2020.org>