



# Refleksioner om transformativt aftaler

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# Reflections on transformative agreements: From stagnant transitions to article quotas



## Reflections on transformative agreements: From stagnant transitions to article quotas

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# Knowledge Exchange (KE)

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- Fokus: Digital infrastruktur og Open Science
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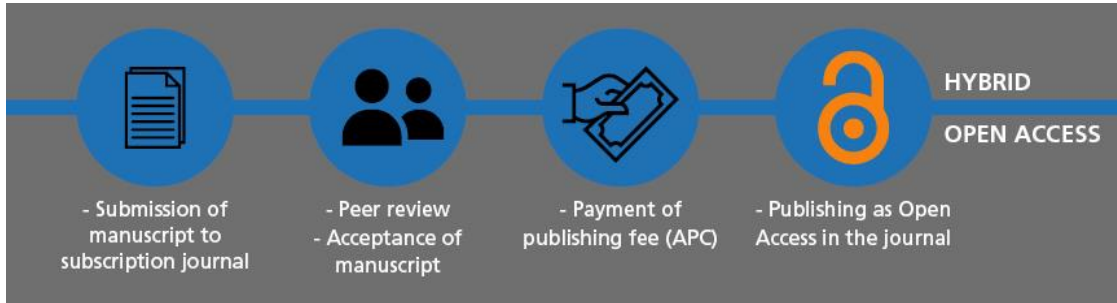
## Formålet med artiklen

The intention of this reflection paper is not to provide specific solutions or answers – accordingly, neither will be found here. Instead, the aim is to highlight selected issues associated with TAs that we believe are worth considering, whether in the context of entering into TAs with publishers or setting goals and strategies for TAs.

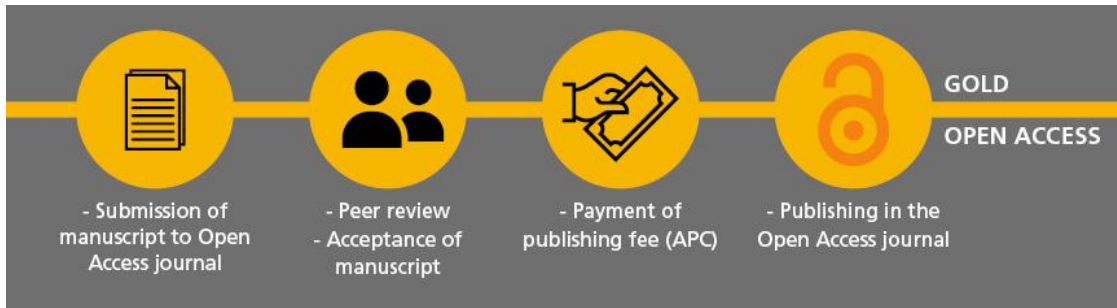
Therefore, this paper is aimed at consortia, policymakers or any other stakeholders with interests in TAs and the landscape surrounding these agreements.

In addition to hoping that our reflection paper will draw attention to current issues with TAs, we also hope that the paper will encourage future discussions on the topic.

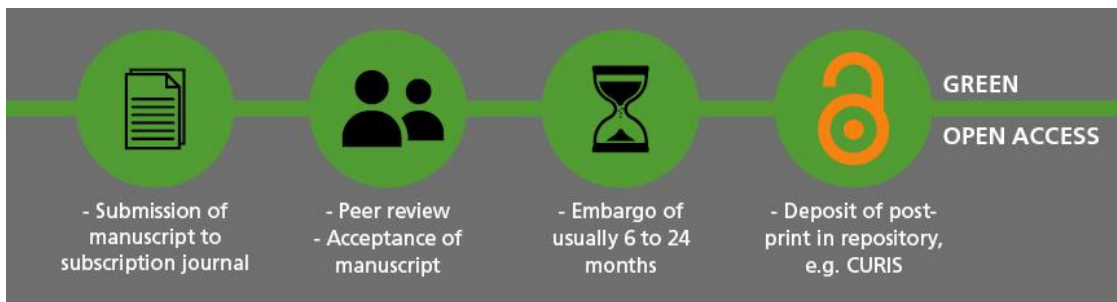
# Open Access-modeller i artiklen



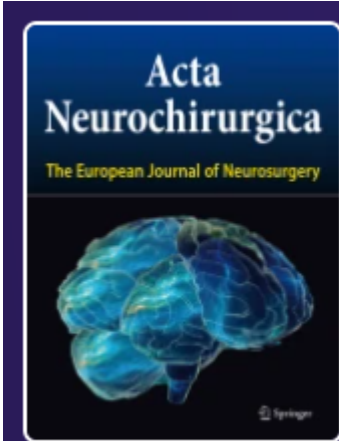
## Hybrid Open Access



## Gyldne Open Access



## Grøn Open Access



# Acta Neurochirurgica

The European Journal of Neurosurgery

Publishing model

**Open access**

Submit your manuscript →



# Sustainable Water Resources Management

Publishing model

**Hybrid**

Submit your manuscript →



## Transformative aftaler (TA) – hvad er det?

- Read and publish agreements eller transitional agreements
- Primært hybride tidsskrifter
- Mere end 70 lande har indgået TA med forlag ifølge ESAC (Efficiency and Standards for Article Charges Initiative)
- Hvad dækker ”transformationen” over?
  - ESAC: Åbenhed omkring aftaleomkostninger
  - cOAlition S: En transformation fra hybrid OA til gylden OA
  - Bibsam og Jisc mener det samme som cOAlition S
  - Forlagene er heller ikke klare i spytet

## Tre overordnede problemstillinger vedr. TA

1. Den stagnerende transformation fra hybrid til gylden OA
2. Potentielle udfald af en transformation fra hybrid til gylden OA
3. De begrænsede artikelkvoter

# Den stagnerende transformation fra hybrid til gylden OA



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## Transformation som en del af strategien



The UK consortium Jisc and the Swedish consortium Bibsam are two of the few consortia that explicitly state that the agreements they enter into must lead to a transformation from hybrid to full OA (Jisc, 2024; Bibsam, 2024).

Only six out of approximately 1300 journals in Wiley's hybrid journal portfolio flipped from hybrid to fully OA in 2023 (Wiley, 2023, 2024). Thus, less than 0.5% of Wiley's total hybrid journal portfolio has flipped to fully OA in 2023.

Example 1: Wiley

Elsevier's total hybrid journal portfolio includes around 1812 journals (Elsevier, 2024a). Elsevier has committed to converting 62 hybrid journals to gold OA journals by the end of 2024 according to the requirements of Plan S (Elsevier, 2024b). That is less than 3.5% of Elsevier's total hybrid portfolio, *if* these journals actually flip.

Example 2: Elsevier

According to Taylor & Francis' own journal lists (Taylor & Francis, 2024c), a total of nine journals will flip to full OA from 2024 to 2025. There are approximately 2175 journals in Taylor & Francis' hybrid portfolio. In other words, about 0.4% of the publisher's hybrid portfolio will flip to full OA in the years 2024 and 2025.

Example 3: Taylor & Francis



The trend evident from the three examples above is confirmed by Jisc in their report “A review of transitional agreements in the UK” (Brayman et al., 2024). The report shows that only three publishers with which Jisc has entered into TAs with between 2018 and 2022 have flipped more than 10% of their journals during the mentioned agreement period. These three publishers are: Karger 14%, BMJ 14%, and IWA 13% (Brayman et al., 2024, p. 40). Overall, the Jisc report concludes that TAs do not have a significant effect on flipping journals from hybrid to gold OA.

Brayman, K., Devenney, A., Dobson, H., Marques, M., & Vernon, A. (2024). A review of transitional agreements in the UK. Zenodo. <https://doi.org/10.5281/zenodo.10787392>



# CAMBRIDGE UNIVERSITY PRESS

However, there are publishers that operate at a faster pace when flipping titles from hybrid to full OA, such as Cambridge University Press (CUP), which flipped 41 hybrid journals to full OA in 2024 (Cambridge University Press, 2024b). This corresponds to 10.1% of CUP's total hybrid journal portfolio of 406 journals<sup>3</sup>. The publisher will flip an additional 79 journals during 2025. By the end of 2025, 29.6% of CUP's hybrid portfolio will have been flipped to full OA.

# Potentielle udfald af en transformation fra hybrid til gylden OA



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## Issue II: Are the roads to open access paved with “gold”?

Often, the transition from the hybrid publishing model to a gold OA model is not questioned.

- Større skel mellem ”rig” og ”fattig” forsker – den ”gratis” subscriptionsvej eksisterer ikke
- Forøgelse af publikationsfrekvensen på bekostning af kvalitet og forskningsintegritet (MDPI og Frontiers...)
- Stigende APC’er – ingen indtjening på subscriptions

If publishers operate exclusively with the gold OA model, it could weaken the ability of consortia to use the Rights Retention Strategy (RRS)<sup>6</sup> as a tool to strengthen their negotiation position.

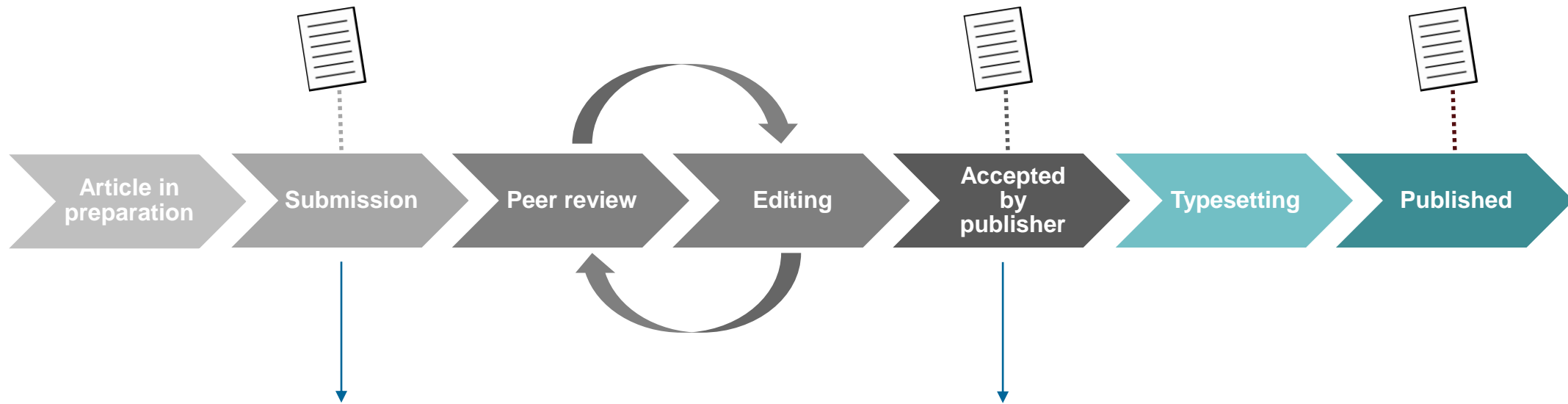
- Rights Retention Strategy – forudsætter Grøn OA, men Grøn OA og Gylden OA er ikke foreneligt

<sup>6</sup> A RRS was first implemented at Harvard University in 2008, but was relaunched by cOAlition S in connection with Plan S in 2021. The strategy involves researchers depositing their accepted manuscripts with a CC BY license in an open repository from the publication time of the final publisher's version (Version of Record). This approach interferes with publishers' usual policies regarding depositing of accepted manuscripts, as publishers typically require a delay of 6 to 24 months before accepted manuscripts can be made openly available, and rarely with a CC license.

# De begrænsede artikelkvoter



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Waived APC er uforudsigelig ved indsendelse af manuskript

Waiveren aktiveres

To successfully publish with waived APCs under a TA with a limited quota, the key is to not only submit before the cap is reached but also to have the manuscript *accepted* before the cap is reached.



## Open Science



### Open science: open access to scientific publications

The beneficiaries must ensure open access to peer-reviewed scientific publications relating to their results. In particular, they must ensure that:

- at the latest at the time of publication, a machine-readable electronic copy of the published version or the final peer-reviewed manuscript accepted for publication, is deposited in a trusted repository for scientific publications
- immediate open access is provided to the deposited publication via the repository, under the latest available version of the Creative Commons Attribution International Public Licence (CC BY) or a licence with equivalent rights; for monographs and other long-text formats, the licence may exclude commercial uses and derivative works (e.g. CC BY-NC, CC BY-ND) and
- information is given via the repository about any research output or any other tools and instruments needed to validate the conclusions of the scientific publication.

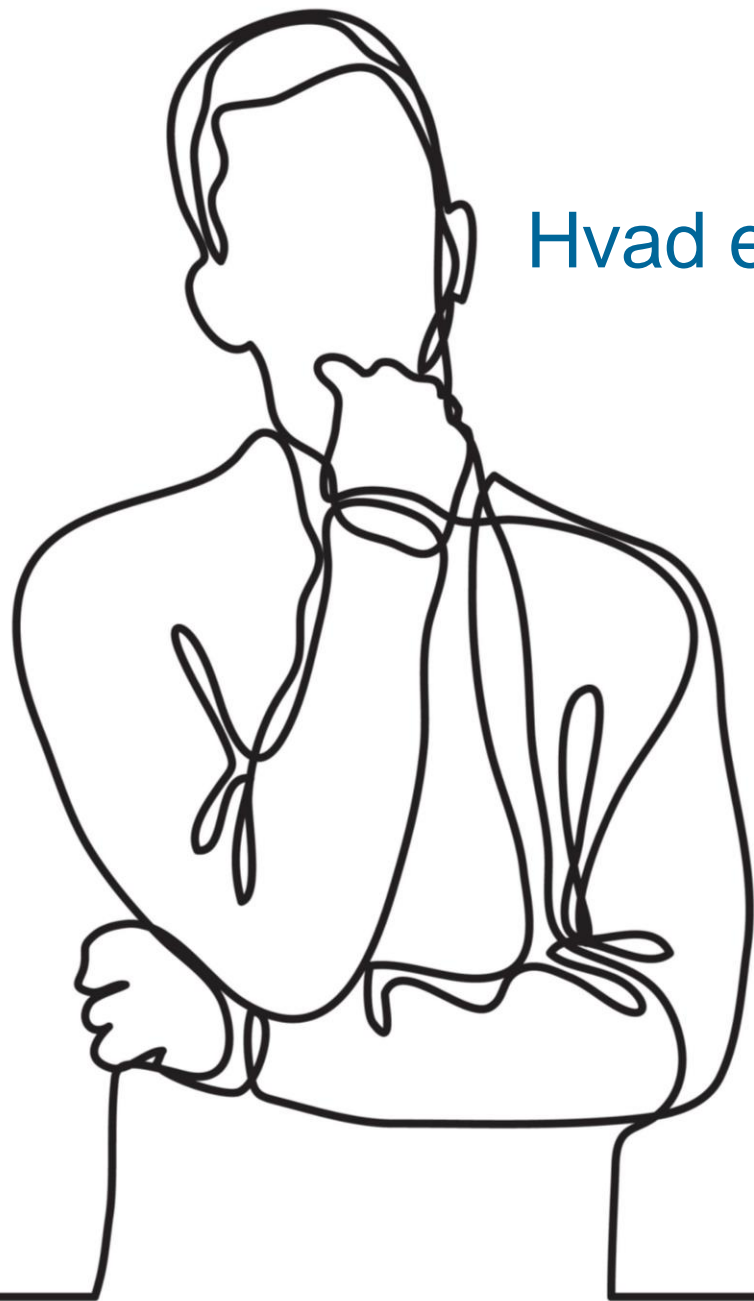
Beneficiaries (or authors) must retain sufficient intellectual property rights to comply with the open access requirements.

Metadata of deposited publications must be open under a Creative Commons Public Domain Dedication (CC 0) or equivalent, in line with the FAIR principles (in particular machine-actionable) and provide information at least about the following: publication (author(s), title, date of publication, publication venue); Horizon Europe or Euratom funding; grant project name, acronym and number; licensing terms; persistent identifiers for the publication, the authors involved in the action and, if possible, for their organisations and the grant. Where applicable, the metadata must include persistent identifiers for any research output or any other tools and instruments needed to validate the conclusions of the publication.

Only publication fees in full open access venues for scientific publications are eligible for reimbursement.

In conclusion, for authors who publish under a grant that requires OA, it can be both costly and troublesome when the quota is exhausted. After submission, they may discover that they cannot publish OA with waived APCs and must find funds themselves to cover the often pricey APCs<sup>7</sup>.

As an advocate for OA, one might fear that researchers' negative experiences with TAs that have a limited quota could tarnish OA as a publication model.



Hvad er jeres oplevelser med TA?

Spørgsmål?



Mere information:

[www.knowledge-exchange.info](http://www.knowledge-exchange.info)