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# Transformative agreements: a viable pathway to open access

Europe's Road towards Open Science and Open Access  
20 October 2020 | EMBL Open Access Week 2020

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[@oa2020ini](https://twitter.com/oa2020ini)

# Core question of today's panel

Are transformative agreements and funder policies a good way to achieve open access?

# My personal answer

Yes, TAs are a **good way** to achieve open access.

In fact, TAs have turned out to be the **best way** to achieve open access.

They are tested, validated and scalable on a relatively short term.

In the end, TAs may even be the **last and only way** for our generation to achieve an orderly transition.

Just imagine what digital natives will do once in all the power positions.

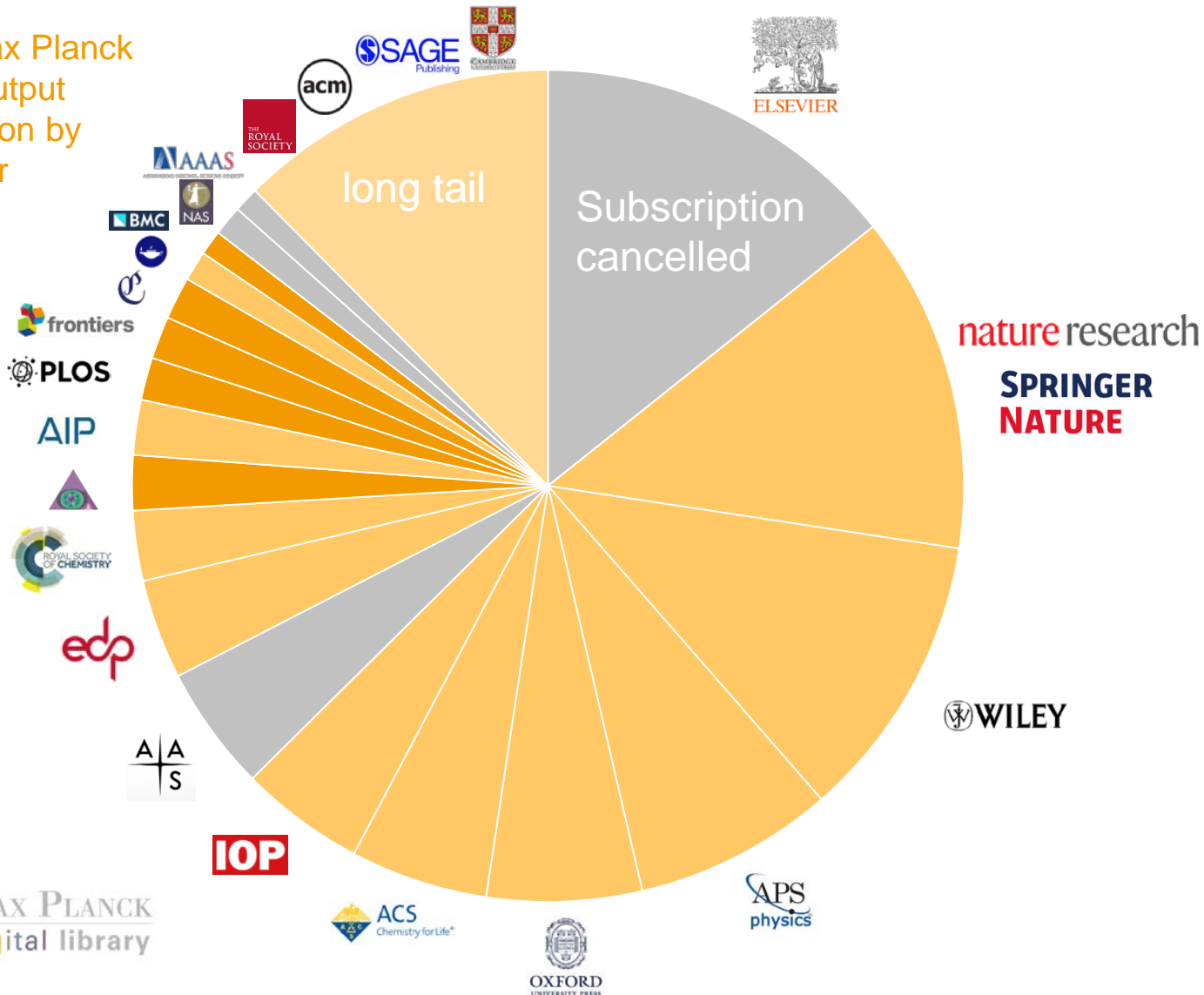
# Part 1

## The perspective and achievements of the Max Planck Society

# Current status with MPG's TAs (10/2020)

Our goal: 100% of Max Planck Society authored papers published open access

2017 Max Planck article output distribution by publisher



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.

# Manifest publishing support for our researchers

open access Publishing Support

<https://oapublishing.mpd.l.mpg.de>



about

MPG currently offers 9,000 contracted journals (fully OA or hybrid under a TA) as OA publishing outlets

Non-APC or otherwise free journals are not even counted (e.g. as listed in DOAJ)

We support our researchers so that they can easily publish with Plan S compliance

We already have in place what cOAlition S wants to build with their *Journal Checker Tool*

The *Nature* and the *Royal Society Journals* will be our next additions to this list

## Supported Journals

Max Planck authors can publish their articles open access free of charge in the listed journals. [More information...](#)

Search bar with "All Fields" dropdown, "Find" button, and "Advanced" button.

Showing 1 - 20 results of 8,983 for search "", query time: 0.01s

1 **2D Materials**  
IOP Publishing  
Entitled Authors: Corresponding author  
[Homepage](#)

2 **3 Biotech**  
Springer  
Entitled Authors: Corresponding author  
[Homepage](#)

3 **3D Printing in Medicine**

Narrow Search

- Subject ^
  - Science 2,448
  - Medicine 2,018
  - Social Sciences 1,172
  - Technology 1,156
  - 795

# A P&R model for the Nature research journals

## German institutions to benefit from first Transformative Agreement for Nature

Landmark agreement between Springer Nature and Max Planck Digital Library creates a route to open access for prestigious Nature research journals

Berlin | Munich | London 20th October 2020

<https://group.springernature.com/fr/group/media/press-releases/landmark-agreement-between-springer-nature-and-mpdl/18498782>

„...das ist ja mal 'ne Nachricht. Wow! Da bekommen die zwei letzten roten Balken für *Nature Geoscience* und *Nature Climate Change* in unserer Hitlistenübersicht (22 Titel) für unsere Institutspublikationen auch noch eine OA-Farbe.“

Librarian, MPI for Meteorology, Hamburg (20 Oct 2020)

# Benchmarking our success

- ✓ We are clear in our goals and strategies
- ✓ We have developed the instruments to accelerate the transition to more OA
- ✓ We have made enormous progress in the past 5 years
- ✓ We are well on our way to declare the Max Planck Society “subscription neutral”
- ✓ We see a realistic option to establish OA as the default in the publishing system
- ✓ We continue to do our best to make the subscription system fully obsolete

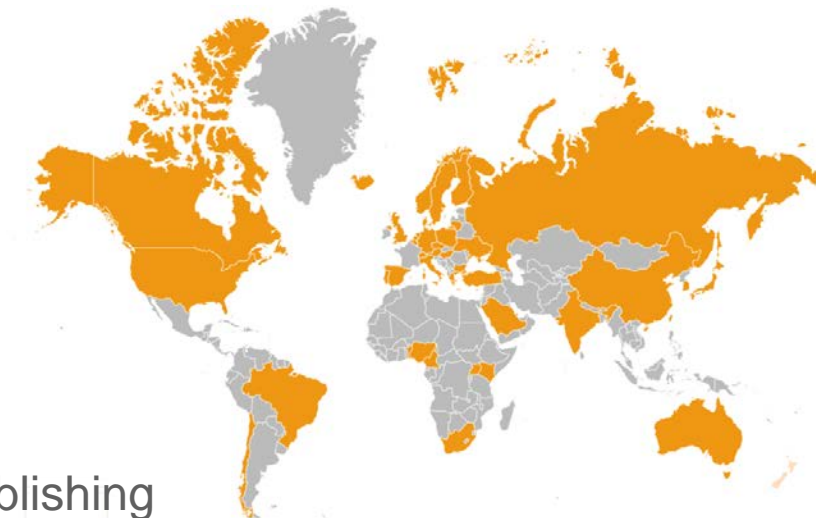


# Part 2

The larger perspective in  
accelerating the transition

# Accelerate the transition

## 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.**

# Accelerate the transition

## \_\_\_\_\_ Transformative agreements

This approach massively increases the proportion of articles published openly, driving a swift and efficient transition of subscription journal portfolios to open access.

- ✓ 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
- ✓ Future-ready orientation of processes and workflows

Transformative agreements create a **cost-neutral setting** in which the *logic, operations, and money flows* of subscriptions can be shifted to **support open access publishing** of an institution or consortium's outputs.

# Accelerate the transition

## The power of alignment

“**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:

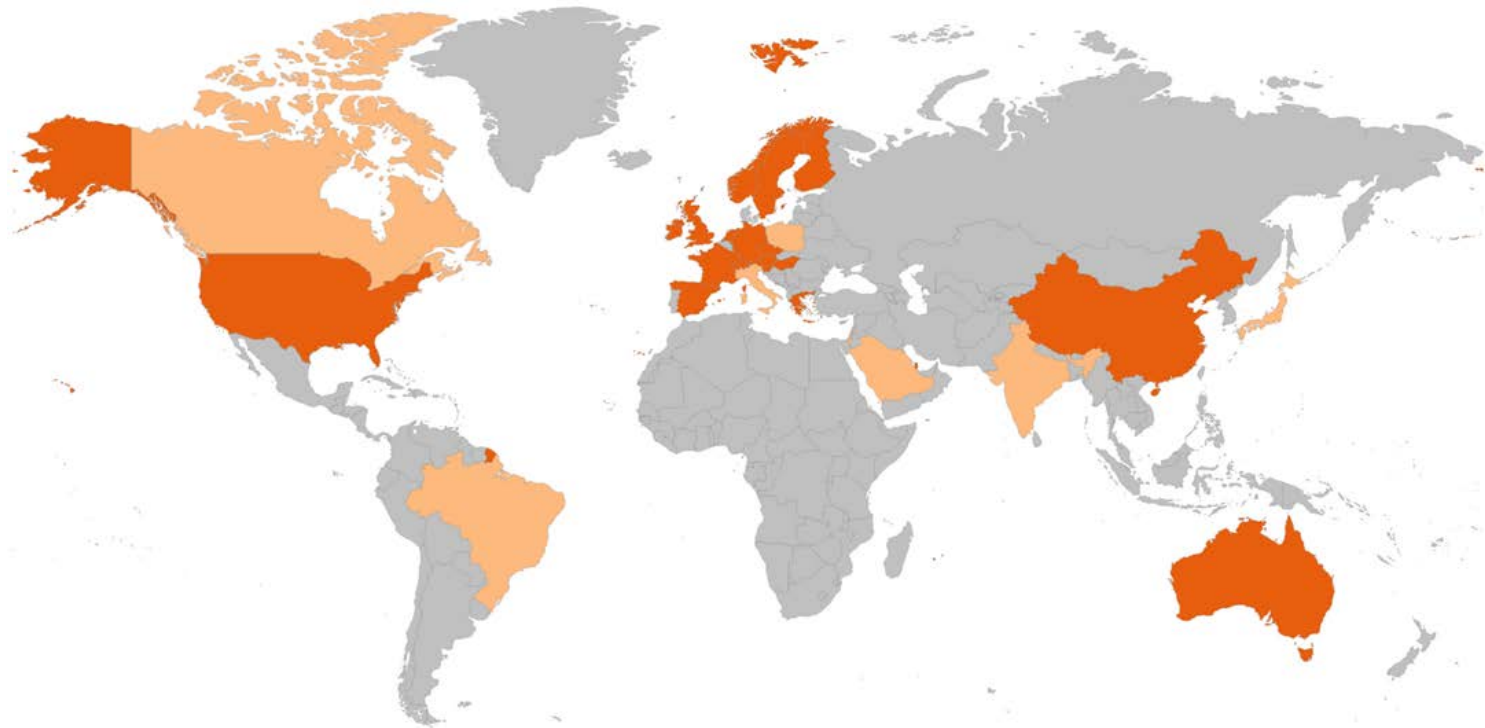
	Open Access publishing venues (journals or platforms)	Subscription venues (repository route)	Transition of subscription venues (transformative arrangements)
Route	Authors publish in an Open Access journal or on an Open Access platform.	Authors publish in a subscription journal and make either the final 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.

# Part 3

## Demonstrating the impact of Transformative Agreements

# Transformative agreements are on the map

## Geographic distribution

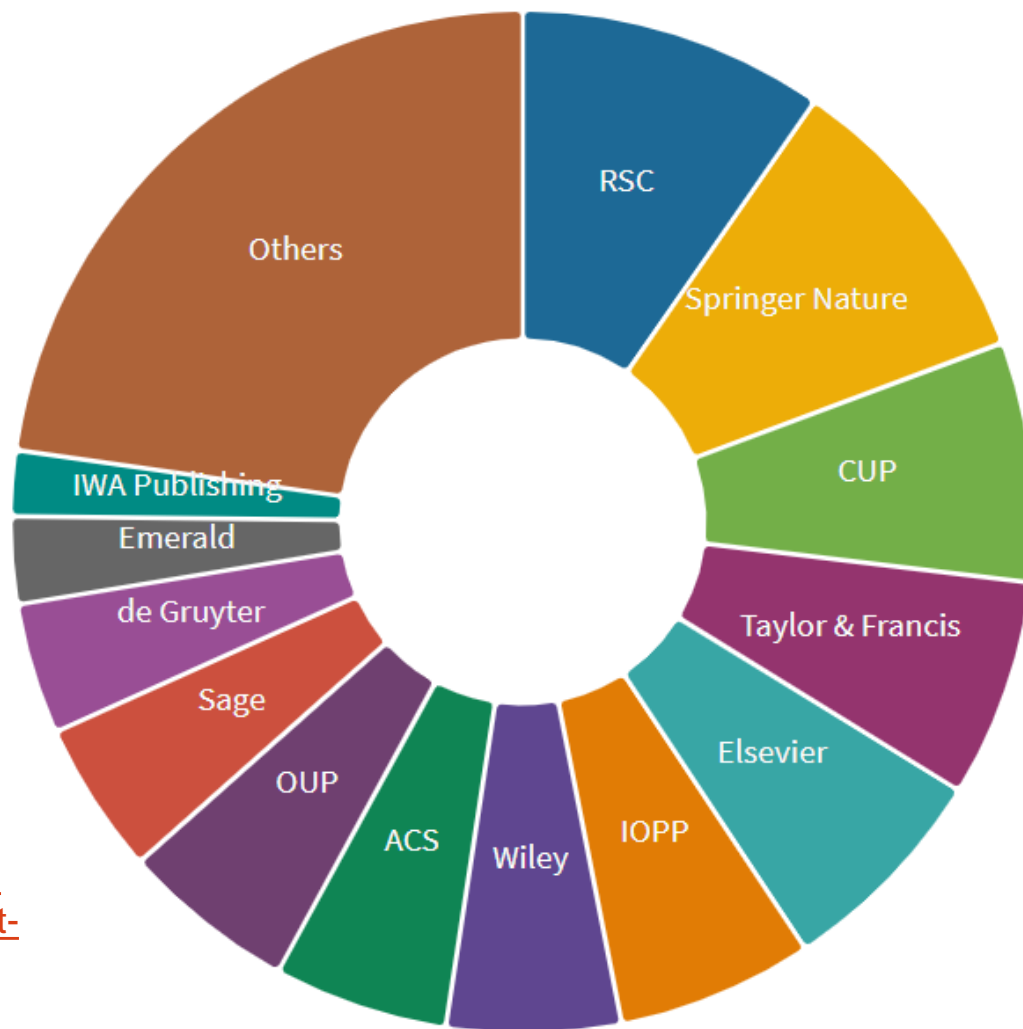


Pale orange are existing transformative agreements not yet submitted to the registry.

[esac-initiative.org/about/transformative-agreements/agreement-registry/](https://esac-initiative.org/about/transformative-agreements/agreement-registry/)

# A viable framework for transition

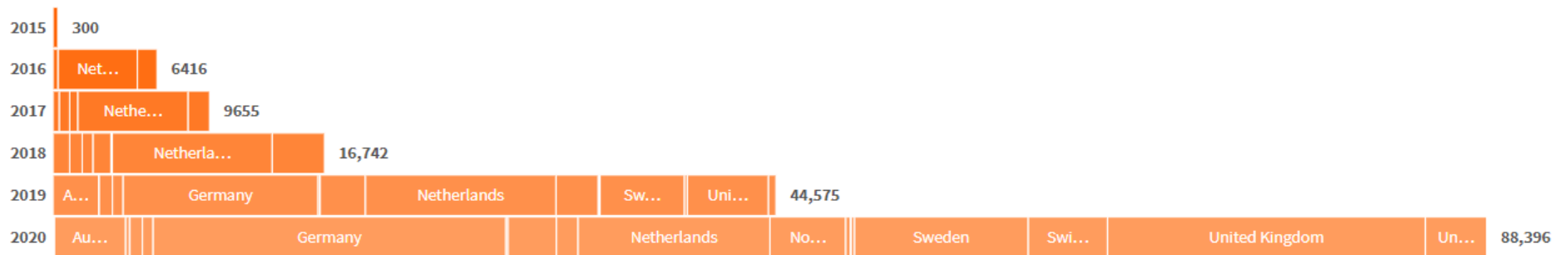
## Publishers embracing the transition



[esac-initiative.org/about/transformative-agreements/agreement-registry/](https://esac-initiative.org/about/transformative-agreements/agreement-registry/)

# The transition has just begun

## Massive growth in openness



The **ESAC Registry of Transformative Agreements** now counts more than 140 agreements, negotiated in 20 different countries with 33 publishers large and small, leading to the publication of over 90,000 articles immediately open access in 2020.



# The impact of transformative agreements

## Case study: Sweden



**Case study:** Sweden  
Corresponding authorship  
article output by publisher

# The impact of transformative agreements

## Case study: Sweden



**Case study:** Sweden  
Corresponding authorship  
article output by publisher

Impact of transformative  
agreements

# Part 4

## DEAL as the instantiation of OA2020 in Germany

# Advances realized through Projekt DEAL's first Transformative Agreement



Projekt DEAL – Wiley Agreement, 2019 - 2021

First period, January – December 2019

## Goal 1 – Empower all (corresponding) authors with the means to publish their articles openly

- ✓ **Open publication enabled** for more than 4400 research articles accepted for publication in Wiley subscription journals—**without author-facing open access publishing fees.**
- ✓ **Author uptake** of DEAL-enabled open access publishing **reached 90%** by the end of the first period and continues to rise. For the vast majority of those authors, it was the first time they opted to publish their articles open access.

# Advances realized through Projekt DEAL's first Transformative Agreement



Projekt DEAL – Wiley Agreement, 2019 - 2021

First period, January – December 2019

## Goal 2 – Expand equal access to high-quality scholarly journals to all learners in Germany

- ✓ Closed the knowledge gap. Now **450 sites in Germany** have been given permanent access to the full portfolio of more than 1,600 high-quality scientific journals; 50 of these had no access previously.
- ✓ The expanded access enabled by DEAL's nationwide approach has led to an increase in **student and researcher engagement** with scholarly journal content, as expressed in article downloads, by **more than 40%**.

# Advances realized through Projekt DEAL's first Transformative Agreement



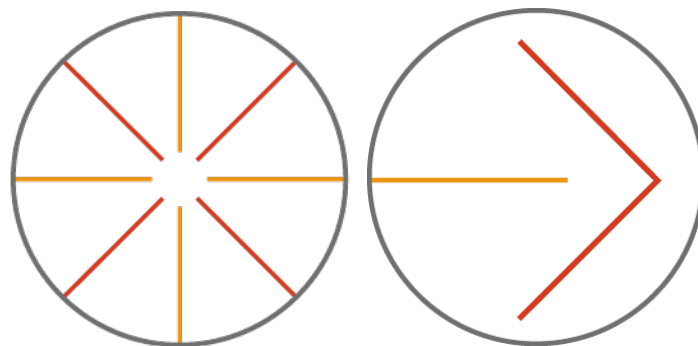
Projekt DEAL – Wiley Agreement, 2019 - 2021

First period, January – December 2019

## Goal 3 – Institute a fair, reasonable, and future-oriented cost model around open access publishing

- ✓ Confirmed the cost-neutrality of DEAL's nationwide approach. The sum of all per-articles fees due to the publisher is **well within the benchmark** of the previous collective subscription expenditure.
- ✓ More than just cost-neutrality, the DEAL agreement has proven to deliver **more institutions with much more service for the same level of investment**: reading access *and* open access publishing.
- ✓ Overall **costs have effectively been reduced on a national scale**—as authors are no longer obliged to use their budgets to publish openly in subscription journals.

# Thank you!



Participate  
in **OA2020**

**Accelerate**  
the transition

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