

# Plan S and Transformative Agreements

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**PANEL**  
**What is the future of  
plan S**

7<sup>th</sup> November 2019



# The 3 ways of dissemination of research outputs laid out in the Plan S guidelines

- **Publication of Open Access Journals or operation of Open Access Platforms** (Plan S requirements are: DOAJ listed; not have a mirror/sister subscription journal; transparent costing/pricing; APC waivers for authors).
- **Depositing of Scholarly Articles in an Open Access Repository** (Plan S requirements are: Platform uses PIDs (preferably DOI); high-quality metadata; machine-readable information on the OA-licensing).
- **Negotiation of Transformative Arrangements** (Plan 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).



## 2. Plan S Compliance

*All scholarly articles that result from research funded by members of cOAlition S must be openly available immediately upon publication without any embargo period.*

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)
<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.



# Two years ago, Open deals seemed impossible

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## Dutch publishing giant cuts off researchers in Germany and Sweden

*Negotiations with Elsevier have stalled over open-access deals.*

Holly Else



Elsevier last week stopped thousands of scientists in Germany from reading its recent journal articles, as a row escalates over the cost of a nationwide open-access agreement.

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SARAH ZHANG MAR 4, 2019



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## Big Deal Cancellation Tracking

Open Access

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## Overview

Large publishers have marketed bundles of journals at a discount off of aggregated list price since the late 1990's. The value proposition for publishers is a guaranteed revenue stream at a high overall dollar value. The perceived benefit for the institutions has been access to a large volume of journal titles, at a lower per-title price than ala carte purchasing would afford. Over time, however, the actual value of these "big deals" has grown less clear. Publishers have often raised the price of the packages by 5-15%, far outpacing library budgets. This has been justified, in part, by the addition of a growing number of specialized journal titles, launched in quick succession. Libraries have found a growing chunk of their budgets allocated to servicing these big deals, as well as their ability to curate resources and build collections most appropriate for their communities severely hampered.

CSUC

# But more recently, we've seen some (not a lot) transformative agreements

## American Chemical Society

- [Con Max Planck institutes](#)

## American Institute of Physics

- [Con University of Vienna](#)

## Cambridge University Press

- [Con California University](#)

## Elsevier:

- [Con Noruega](#)

...

- ...



NEWS · 26 APRIL 2019

## Elsevier strikes its first national deal with large open-access element

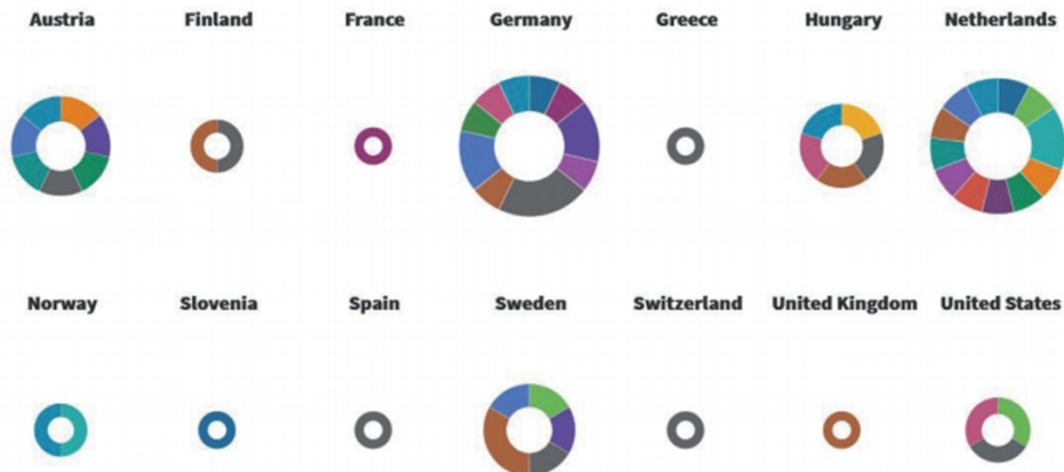
Agreement with Norwegian consortium allows researchers to make the vast majority of their work free to read on publication in Elsevier journals.

Holly Else

### ESAC registry: transformative Agreements by Country and Publisher

Retrieved on 27 Sep 2019

Legend for Publishers: ACS, Akadémiai Kiadó, Cambridge University Press, EDP Science, Elsevier, Emerald, IOP Publishing, IWA Publishing, Karger, Lippincott Williams & Wilkins, Oxford, RSC, Sage, Springer Nature, Taylor & Francis, Thieme, Walter de Gruyter, Wiley.





#Quick Takes

## France Preserves 'Big Deal' With Elsevier

By [Lindsay McKenzie](#) // April 17, 2019

1 COMMENT



The [Couperin consortium](#), which represents 240 higher education and research institutes in France, has renewed its bundled journal subscription deal with Elsevier, the publisher.

The consortium's decision is noteworthy because other large European consortia recently have gone in the other direction. Consortia in Germany, Sweden and [Norway](#) have all canceled their "big deals" with Elsevier. In the U.S., the University of California system recently [walked away](#) from the publisher after failing to reach an agreement.

The French consortium negotiated an Elsevier subscription discount of 13.3 percent over the next four years, according to [The Sound of Science](#), a French science policy blog.



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THE SCIENCES

### India Will Skip Plan S, Focus on National Efforts in Science Publishing

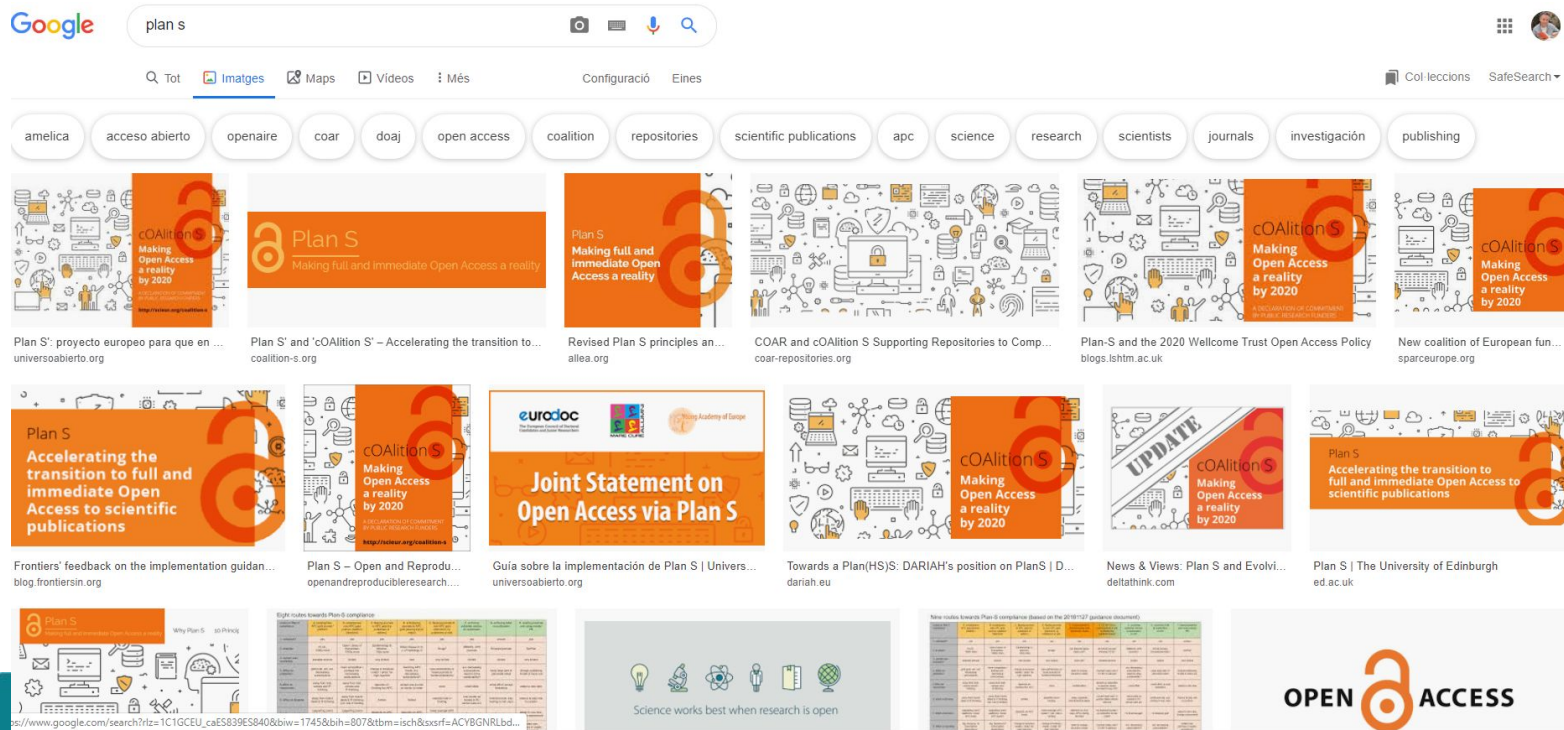
The government's "directions will be entirely determined by the interests of Indian academia and of India", according to K. VijayRaghavan, the principal scientific adviser to the Government of India.



# ✓ One big pro

- ✓ 6 small cons (0 doubts)
- ✓ 6 small cons (0 doubts)
- ✓ 6 small cons (0 doubts)
- ✓ 6 small cons (0 doubts)
- ✓ 6 small cons (0 doubts)
- ✓ 6 small cons (0 doubts)

✓ Probably thanks Plans S (and cOAlition S) OA is now (finally) in the agenda of ALL the countries



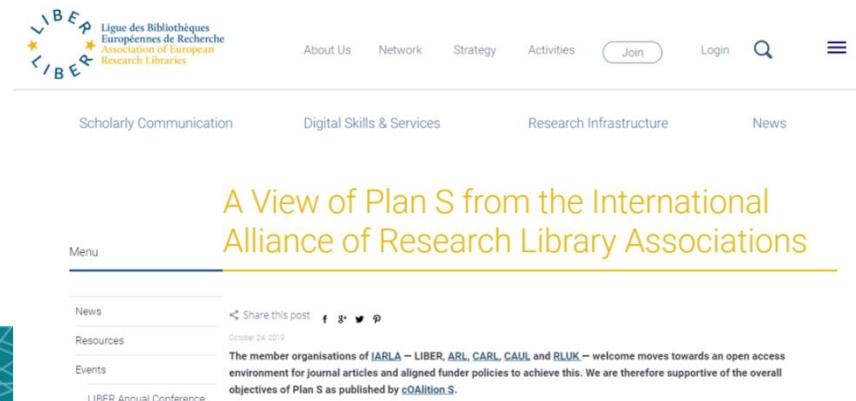
## 6 small cons (o doubts)

1. To know what a transformative agreement is
2. To know what we (one university, consortium o country) are paying now for the scholarly communication system
3. Someone must assume the differential between the 'neutral cost' and the money centrally paid (i.e. the disaggregated costs paid for APCs)
4. We have forgotten double-dipping
5. Transformative agreements change the current equilibrium between the current payers



## To know what a transformative agreement is

- ✓ IARLA statement: the research library community would still like to see:
- **Further clarity on the nature of transformative agreements** and description of the expectation of what the next steps will be when hybrid funding ends on 31 December 2024.
  - **Large-scale financial model of the costs of a fully Plan S compliant environment.** To date there has not been a sufficiently systematic international modelling of the costs either during the transitional period, or in a post-2024 environment of compliance with Plan S – either in terms of publisher costs or administrative infrastructure costs within and between institutions. We have particular concerns that research-intensive institutions may see significant increases in costs, and that cross-disciplinary research and international collaborations may suffer from complicated financial models.
  - **Modelling of the possible impacts on smaller, mainly arts, humanities and social sciences institutions and publishers** and an analysis of the danger of further market consolidation.



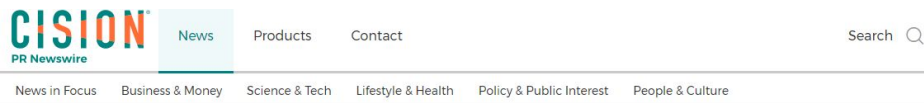
The screenshot shows the LIBER website header with the logo and navigation links: About Us, Network, Strategy, Activities, Join, Login, and a search icon. Below the header is a navigation bar with links for Scholarly Communication, Digital Skills & Services, Research Infrastructure, and News. The main content area features a news article titled "A View of Plan S from the International Alliance of Research Library Associations" dated October 24, 2019. The article text states: "The member organisations of IARLA – LIBER, ARL, CARL, CAUL, and RLUK – welcome moves towards an open access environment for journal articles and aligned funder policies to achieve this. We are therefore supportive of the overall objectives of Plan S as published by cOAllition S." A "LIBER Annual Conference" link is visible at the bottom of the article.

## To know what we (one university, consortium or country) are paying now for the scholarly communication system

- ✓ CSUC is (trying to) monitoring APC costs.
  - this is hard to do
  - publishers don't have more information than universities!
  
- ✓ We estimated that CSUC members are paying (as APC costs) near 20% that they are paying for subscriptions
  - This is a new cost and an important over cost
  
- ✓ **The transformative agreements need agreements on monitoring before to be agreed**

# 'About 'neutral cost' and who pays for it

- ✓ 'neutral cost' is more cost
  - neutral cost = existing cost (already centralized and controlled cost) + APC cost (not yet centralized neither controlled)
- ✓ Even if we consider that the two costs are part of the cost of a unique system is not clear that the subscription payers can also absorb APC costs
- ✓ **A national agreement is needed!**



## Hungary and Elsevier Agree Pilot National License for Research Access and Open Access Publishing



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Elsevier and EISZ →  
31 Oct. 2019, 12:01 GMT

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AMSTERDAM, Oct. 31, 2019 /PRNewswire/ -- Hungarian Electronic Information Service National Programme (EISZ) and Elsevier, a global information analytics business specializing in science and health, today agreed a new pilot license for research access and Open Access publishing in Hungary.



Content <https://www.nature.com/articles/d41586-019-01349-6>

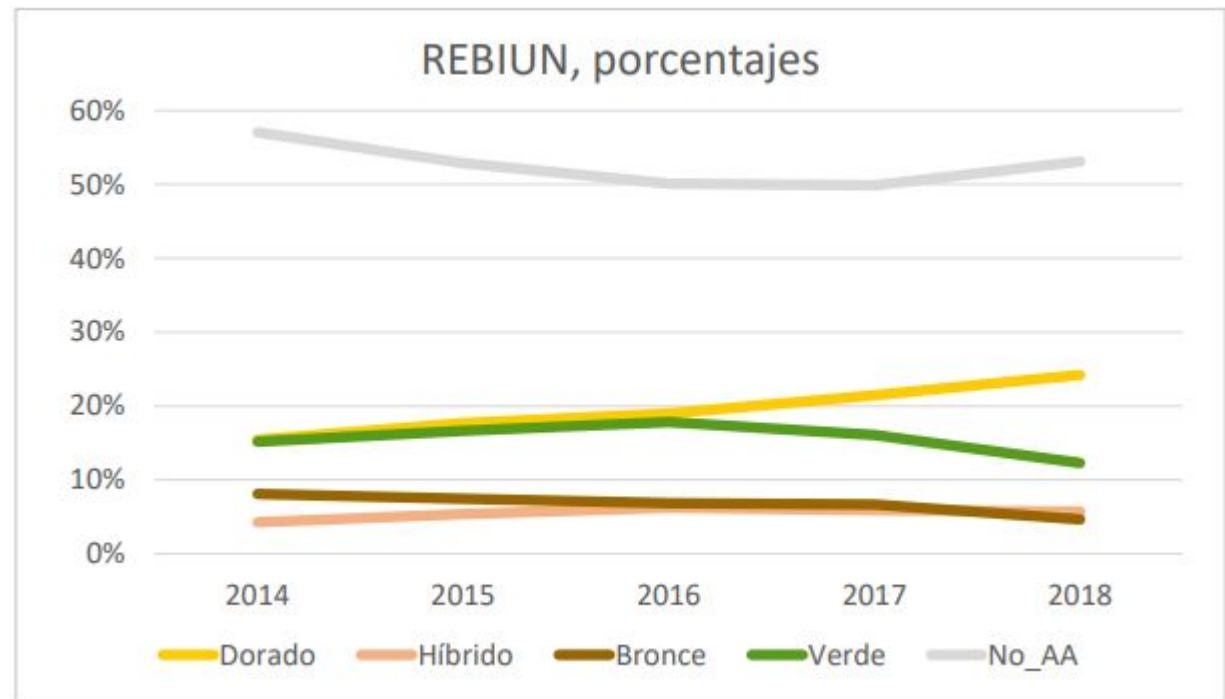
- Scientists in the 46 Norwegian universities and research institutes represented by the consortium will have access to 2,800 Elsevier journals.
- It will also allow 1,850 articles authored by those academics to be immediately free to read on publication in Elsevier titles.
- On the basis of historical data, this total should cover about 90% of Norwegian academics' yearly publications in the company's journals.

The deal is "cost neutral" compared with the previous agreement (which did not include OA fees)

- €9 million (subscription costs in 2018) + an estimated €1 million in OA publishing fees
  - (so, a 11,11% of increase in respect subscription costs)
  - CSUC studied the APCs paid in 2018. The estimated added cost was 20,7% over the cost of subscriptions. Is estimation and probably the real added cost is less: something between 10 and 15%

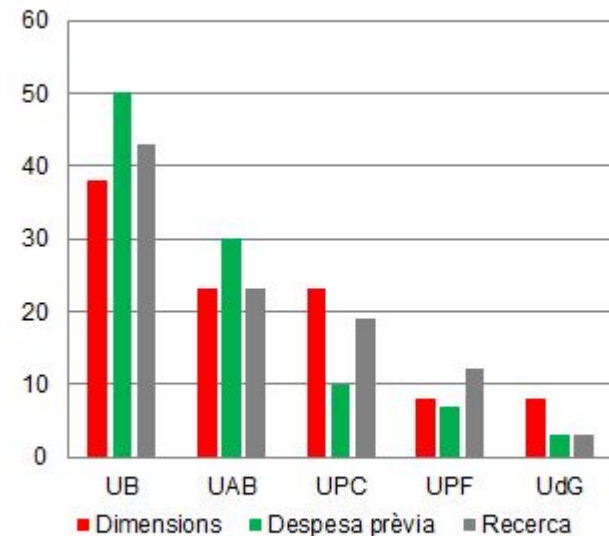
## We have forgotten double-dipping

- if there is enough money in the system
- if a substantial part of the scientific outputs are in OA
- **why transformative agreements are costing more?**
  - because APC cost is added
  - because read fee is included
  - because we don't exactly know how many articles was been o will be published



## Transformative agreements change the current equilibrium between the current payers

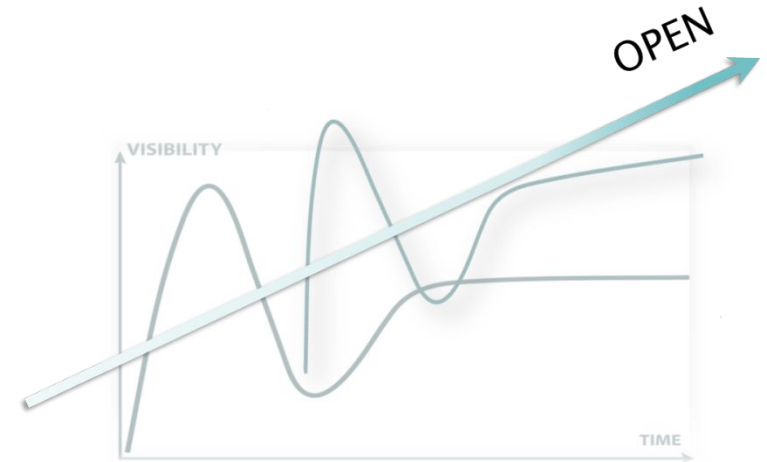
- Until now prices were based in the previous (print) expend.
  - This is clearly unfair today, but a lot of internal equilibriums are supported by this base)
- Transformative agreements cost are based on articles published.
  - **So, it seems logical to change the cost imputations and rebalances the payments, but this ...**





## Future of Plans S = future OA

✓ OA is the future because information wants to be free,



✓ but the situation is very confusing and confusion doesn't help to do the transformation that the scholarly communication needs

