

Wellcome's support for Transformative Arrangements - 2021 to 2024

Overview

Transformative Arrangements are strategies which encourage subscription publishers to transition to full and immediate Open Access and where fees are charged for providing publishing services rather than subscription fees for reading.

These approaches include Transformative Agreements and Transformative Journals as well as other open access publishing initiatives.

This document provides guidance for organisations in receipt of open access block grant funding when using Wellcome funds to support Transformative Arrangements for the period January 2021 – December 2024.

This Guidance will be kept under review and may be updated from time to time.

General guidance

In line with our open access policy all articles reporting original Wellcome -funded research published through a Transformative Arrangement must be deposited in PMC/Europe PMC at the time of publication and licensed under a CC BY licence. The PMC/Europe PMC deposit requirement applies to all articles irrespective of subject.

Organisations will be required to indicate in the OA annual report submitted to Wellcome the spend on Transformative Arrangements, including details of the specific papers published through the arrangement.

Where required, block grant funds can be used in *advance* of any articles being published.

Wellcome's contribution towards an arrangement cannot exceed the balance remaining in an organisation's block grant.

Transformative Agreements

Transformative Agreements (TAs) are contracts negotiated between organisations (libraries, national and regional consortia). By definition, TAs are transitional in nature.

We encourage organisations and publishers to negotiate TAs, believing that they are an effective way to bring about a global transition to open access. However, in order for the organisation to participate in a TA it should represent value for money.

- The TA must be deemed “transformative” and meet the requirements specified here: <https://subscriptionsmanager.jisc.ac.uk/about/publisher-information> TAs that meet these requirements will be posted on the [ESAC web site](#).
- To enable Wellcome -funded research to be published open access under a TA, Wellcome -funded authors are encouraged, and where appropriate, to act as corresponding author (or co-corresponding author) on an article. The corresponding author should use their organisational email address for any correspondence with the publisher.
- In cases where it is not appropriate for the Wellcome-funded researcher to act as corresponding author, and no other author has access to a TA, the paper must be made compliant with our open access policy by self-archiving a copy of the Author Accepted Manuscript in Europe PMC on publication and under a CC BY licence. Wellcome-funded authors retain the right to comply via this route having applied a CC BY public copyright licence to their journal submission, see <https://wellcome.org/grant-funding/guidance/open-access-guidance/complying-with-our-open-access-policy>.
- Organisations can use their open access block grant to contribute towards TAs. Any *additional* fees charged by the publisher (such as publication fees, page charges, colour charges etc) cannot be charged to Wellcome. the grant.
- The cost charged to the block grant in support of a TA must be based on your organisation’s previous Wellcome APC spend with that publisher using the publisher’s methodology to calculate the ‘publish’ element of the agreement. For example, the Wiley 2020 TA uses 2018 APC spend to calculate the ‘publish’ element of the agreement, whereas the Microbiology Society 2020 TA uses the organisation’s mean APC spend for the year 2017/2018.
- An organisation’s suggested contribution must be verified by Jisc Collections and the organisation. Using this formula our contribution will be honoured, irrespective of the actual number of Wellcome papers published with that publisher during the period of the agreement. Where the TA includes a year-on-year agreed percentage increase the additional cost can be charged to the block grant. This applies to increases from year one onwards only.
- Where an organisation has agreed to participate in a TA, for the journals included within that TA, we will not fund any OA publishing costs for (i) manuscript types which fall outside of the agreement or (ii) where the TA restricts the number of publications and this cap is reached. This also applies for journals which have been given ‘Transformative Journal’ status.

Transformative Journals

Transformative Journals (TJ) are subscription/hybrid journals that are committed to transitioning to fully OA journals. Transformative Journals must gradually increase the share of Open Access content and offset subscription income from payments for publishing services thereby avoiding double payments.

- Our funds can only be used to fund fair and reasonable APCs for articles reporting **primary, original research** supported by Wellcome in journals which have been given Transformative [Journal status by cOAlition S](#).
- Any *additional* fees charged by the publisher (such as publication fees, page charges, colour charges etc) cannot be charged to Wellcome.
- Three of the Nature Research TJ's titles (Nature Genetics, Nature Physics, Nature Methods) are participating in the [Guided Open Access initiative](#). If researchers opt into this initiative our funds can be used to support the Editorial Assessment Charge as well as the top-up APC for articles reporting Wellcome-funded **primary, original research**.

Subscribe to Open

Subscribe to Open (S2O) is an approach for converting subscription journals to open access without reliance on APCs. Instead S2O relies on existing library subscription procurement processes. If all subscribers participate in the agreement, the publisher commits to publishing that year's content OA.

- Organisations participating in a S2O publishing model, can use our funding to contribute towards the agreement. Our contribution should be based on the % of published Wellcome funded content associated with that organisation in the previous year (or 2 or 3 years if a rolling average is sought). Our contribution should be calculated using only those publications where the Wellcome-funded author at your organisation was the Corresponding Author, thereby ensuring we aren't contributing multiple times for the same article.
- Using this formula our contribution will be honoured, irrespective of the actual number of Wellcome papers published with that publisher during the period of the agreement.
- Any *additional* fees charged by the publisher (such as publication fees, page charges, colour charges etc) cannot be charged to the Wellcome.