

Wellcome's & COAF support for Transformative Agreements - 2020

Overview

Transformative agreements (TA's) are contracts negotiated between organisations (libraries, national and regional consortia) and publishers that seek to transform the scholarly communication journal publishing business model, from one based on toll access (subscription) to one in which publishers are remunerated for their open access publishing services. By definition, transformative agreements are transitional in nature.

We encourage organisations and publishers to negotiate TA's, believing that they are an effective way to bring about a global transition to open access.

In support of this, organisations in receipt of COAF [block grant funding](#) are able to use these funds to make a contribution to the costs of a TA.

This document provides guidance when using COAF to support a TA.

Note: This document provides guidance for the calendar year 2020, before our Plan S-aligned policy takes effect. We will update this guidance in advance of the updated policy coming into effect on 1st January 2021.

Guidance

1. The TA must be deemed "transformative" and meet the requirements specified here: <https://www.jisc-collections.ac.uk/Transformative-OA-Reqs/>. TAs that meet these requirements will be posted on the [ESAC web site](#).
2. To enable Wellcome and COAF-funded research to be published open access under a TA, COAF-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.
3. In cases where it is not appropriate for the COAF-funded researcher to act as corresponding author, and no other author has access to a TA, we will continue to fund article processing charges (APCs) for journals which provide a compliant paid open access option with that publisher. Eligible APCs can be charged to the block grant until 31st December 2020.
4. Organisations can use their COAF block grant to contribute towards TAs. Block grant funds can be used for this purpose in *advance* of any articles being published. Note, any *additional* fees charged by the publisher (such as publication fees, page charges, colour charges etc) cannot be charged to the joint fund.
5. The cost charged to COAF in support of a TA must be based on your organisation's previous COAF APC spend with that publisher using the publisher's methodology to calculate the 'publish'

element of the agreement. For example, the Wiley TA uses 2018 APC spend to calculate the 'publish' element of the agreement, whereas the Microbiology Society 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 COAF 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 joint fund. This applies to increases from year one onwards only.

6. Organisations will be required to indicate in the OA annual report submitted to Wellcome their spend on TAs. However, they only need to report the contribution made to an individual agreement; details of the specific papers published as part of an agreement will be supplied directly to Wellcome by Jisc.
7. Under the terms of the agreement the publisher must agree to deposit articles reporting original Wellcome & COAF -funded research in PMC/Europe PMC at the time of publication and license the article under a CC-BY licence. The PMC/Europe PMC deposit requirement applies to all articles irrespective of subject.
8. Where an organisation has agreed to participate in a TA, we will not fund any OA publishing costs for article types which fall outside of the TA.
9. Organisations are strongly advised to reserve funds within their COAF grant to meet the cost of APCs in compliant fully open access journals. Currently 35% of COAF funds are used to support APCs in fully OA journals.
10. The COAF contribution towards an agreement cannot exceed the balance remaining in an organisation's block grant.
11. Conditions for specific TAs are detailed in Annex A.

Annex A

1. Wiley Read & Publish Agreement.

Organisations participating in this agreement are **strongly encouraged** to approve APC funding requests for papers with COAF-funding attributed to them, whether or not the COAF-funded author is the corresponding author (CA) or based at your organisation.

Where it is not possible to approve an APC in this situation, for 2020 **Wellcome** will directly fund eligible APCs in the following cases:

- Wellcome-funded CA based at organisations not covered by existing Wiley agreements (UK or overseas).
- Wellcome-funded authors who do not have CA status, *and* where the CA is not covered by an existing Wiley agreement (UK or overseas).
- Wellcome-funded authors based in our [Africa and Asia programmes](#) and the [Centre for Infectious Diseases Research in Africa](#) (CIDRI-Africa) where the published article is not covered by an existing Wiley agreements.

Articles routed through Wellcome's account will be reviewed for approval.