

## Guidance on CRUK support for Transformative Agreements<sup>1</sup>

### Overview

Transformative agreements (TAs) 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 TAs, believing that they are an effective way to bring about a global transition to open access.

In support of this, organisations in receipt of CRUK open access 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 a CRUK open access block grant to support a TA.

### Guidance

1. 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.
2. In cases where it is not appropriate for the CRUK-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. We would generally expect, however, for the other funders of that paper to contribute to the APC costs if at all possible. Eligible APCs can be charged to the CRUK block grant until the end date of the grant, or until the grant is exhausted (whichever is earlier).
3. Organisations can use their CRUK open access 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 block grant.
4. The cost charged to CRUK in support of a TA must be based on your organisation’s previous CRUK 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.
5. 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 CRUK 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 CRUK grant. This applies to increases from year one onwards only.

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<sup>1</sup> In the interests of consistency, this guidance borrows heavily from the previously published Wellcome/COAF guidance on use of those funds for Transformative Agreements for 2020-21. The authors acknowledge and thank the drafters of that guidance.

6. Organisations will be required to indicate in the OA annual report submitted to CRUK their spend on TAs. If possible, institutions should also capture (and report on) the specific CRUK-funded papers published as part of that agreement, although CRUK appreciates this may not be possible in every case.
7. Under the terms of the agreement the publisher must agree to deposit articles reporting original CRUK -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 CRUK open access block grant to meet the cost of APCs in compliant fully open access journals.
10. The guidance set out above is all subject to the rule that the CRUK contribution towards a TA cannot exceed the balance remaining in an organisation's CRUK block grant.