

# cOAlition S consultation on transformative journals framework

## Survey analysis

### Introduction

cOAlition S launched a consultation on transformative journals framework between 7 November 2019 and 6 January 2020. The survey focused on collecting feedback on Plan S guidelines for “developing a potential framework for ‘transformative journals’ where the share of Open Access [OA] content is gradually increased, where subscription costs are offset by income from payments for publishing services (to avoid double payments), and where the journal has a clear commitment to transition to full Open Access in an agreed timeframe”.

87 responses were provided to the consultation, all responses were considered valid. This report provides a full analysis of the survey results. Since the closing date of the survey, a further eight responses were received and have been used to inform the consultation but are not reflected in the numbers below. Annex 1 includes the survey questionnaire.

### Type of organisation

Responses to questions 1-3 were merged in order to provide a clearer interpretation of the consultation results. Table 1 summarises the ‘about you and your organisation’ responses. The responses were grouped by the kind of organisation respondents were representing or by principal area of expertise if respondents replied as individuals.

1. Are you responding as an individual or on behalf of an organisation?	2. What is your principal expertise?	3. On behalf of what kind of organisation are you responding?	Number of responses
Individual	Funder / policy	Null	1
	Learned society	Null	1
	Library	Null	13
	Other	Null	1
		Research Office	1
	Publishing	Null	2
	Research	Null	16
Organisation	Null	Funder / policy	1
		Learned society	13
		Library	6
		Other	11
		Publishing	16

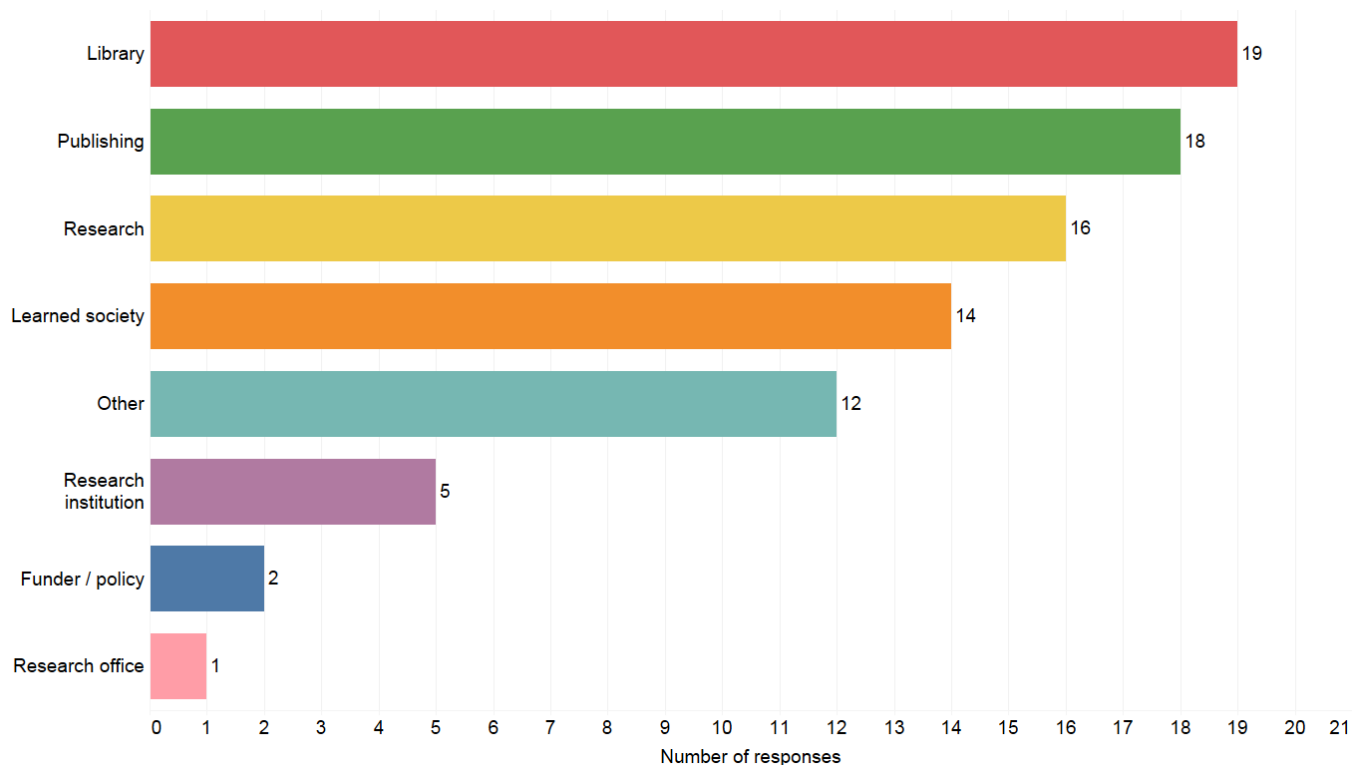
	Research institution	5
Total		87

**TABLE 1: ABOUT YOU AND YOUR ORGANISATION**

Two individuals (2%) described their principal expertise as 'Other'. One was identified as a Research Office and the other described themselves as 'Research, Funding, Publishing, Library'. 11 respondents (13%) selected 'Other' under organisation. Below are the organisation types that the respondents described themselves as replying on behalf of:

- A community of OA publishers and related organisations (1 response, 1%);
- A representative body of higher education institutes (1 response, 1%);
- Editor-manager of an OA journal (1 response, 1%);
- European University Association (1 response, 1%);
- International trade organisation (1 response, 1%);
- Library member organisation (1 response, 1%);
- Member organisation; majority academic libraries (1 response, 1%);
- Non-profit organisation representing Early Career Researchers at European level (1 response, 1%);
- Society Publishers' Coalition (1 response, 1%);
- Trade association (1 response, 1%);
- University (1 response, 1%).

In order to identify the respondents' groups in Questions 4 to 8, information in Table 1 was merged to allow distinct groups to be identified (Figure 1).

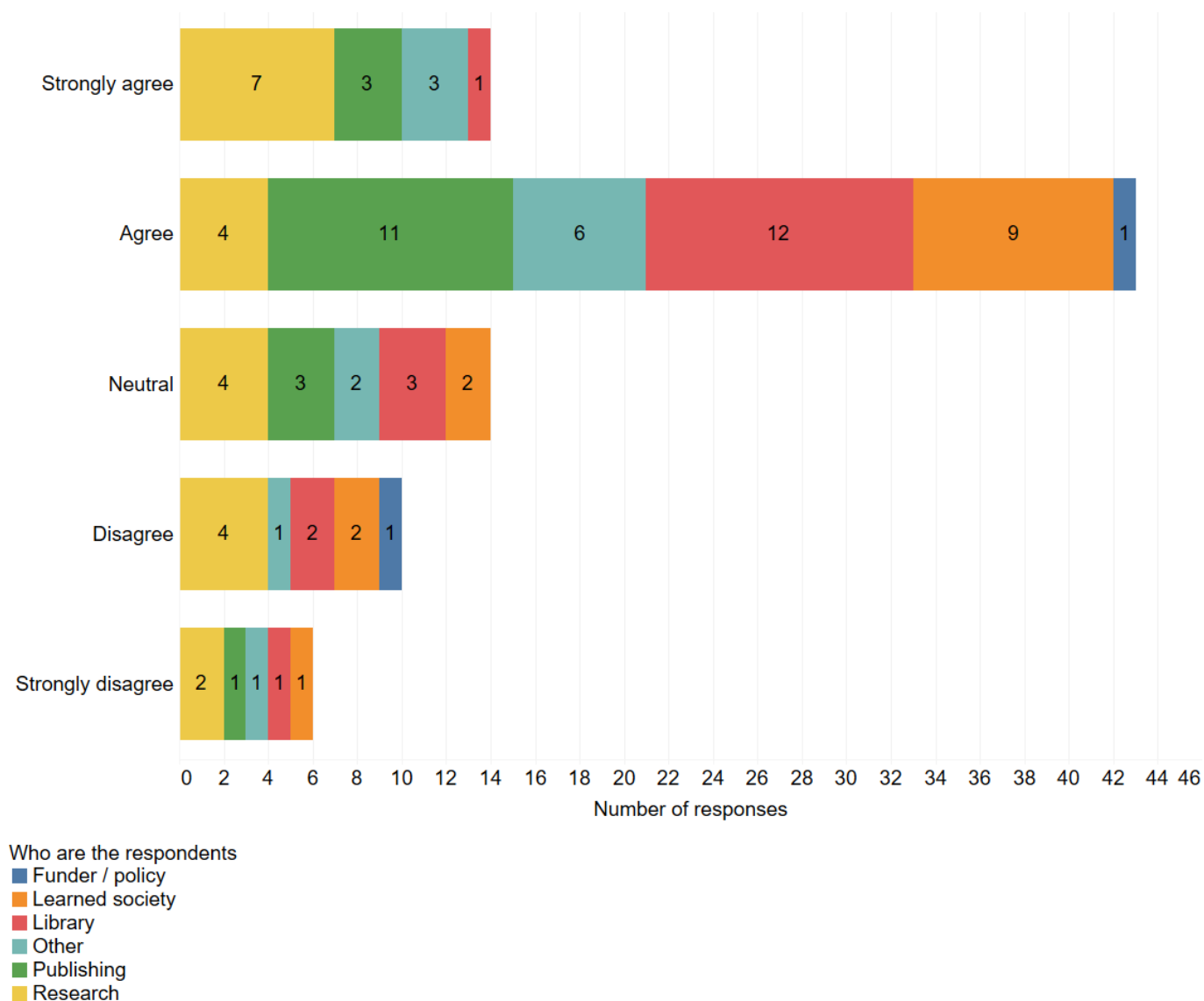


**FIGURE 1: ORGANISATION RESPONDENTS WERE ANSWERING ON BEHALF OF OR PRINCIPAL EXPERTISE.**

## Transformative Journals - overall views

Question 4 asked to what extent respondents agreed with the statement: "in principle, transformative journals can be a useful and viable route to full and immediate OA"? There were no null responses to this question.

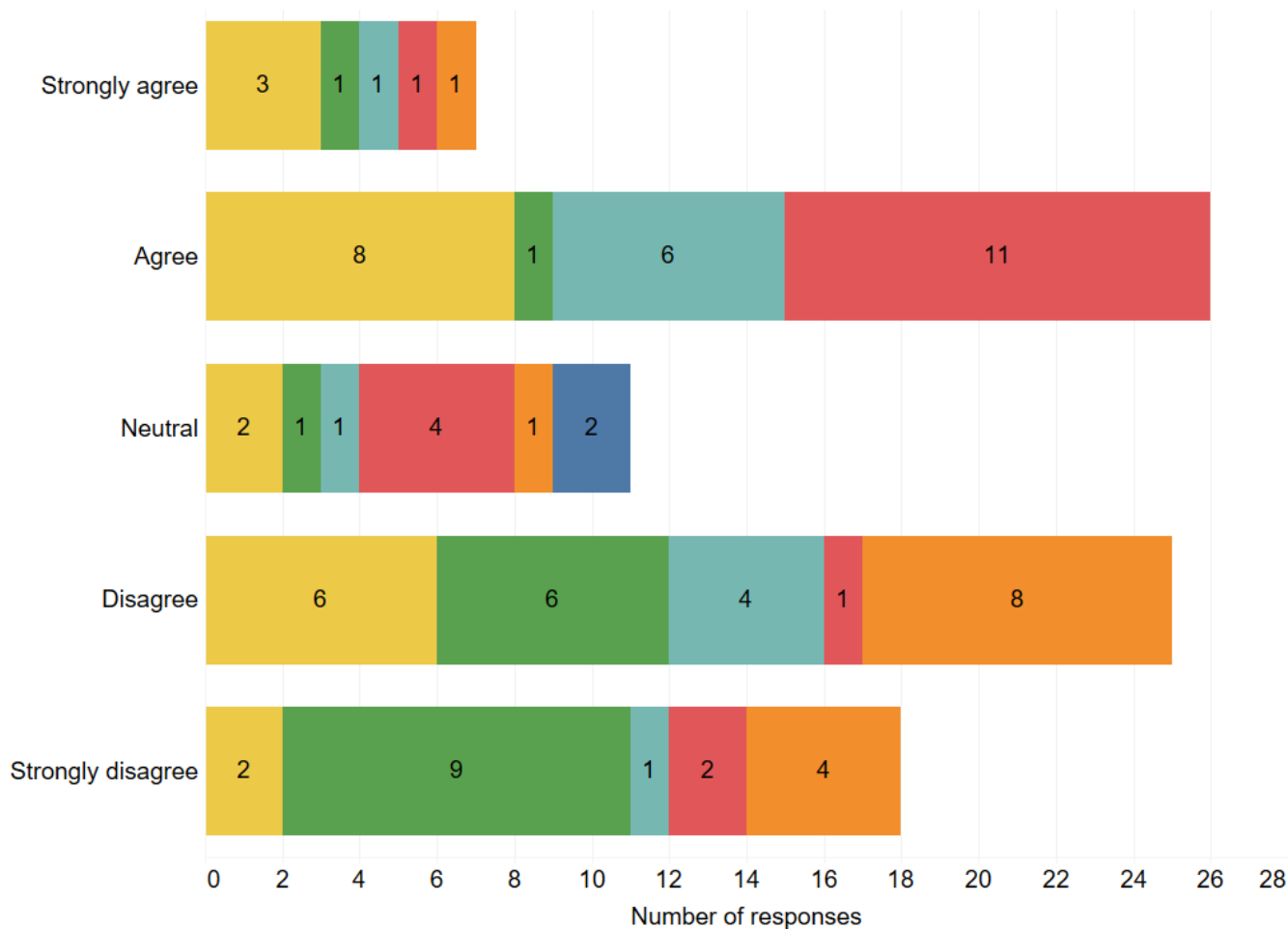
Figure 2 shows that the majority of respondents that expressed a preference agreed with the statement (43, 49%). The majority of publishers, libraries and learned societies supported the statement. Responses from researchers were split, 11 (13%) agreed, 4 (5%) were neutral and 6 (7%) disagreed.



**FIGURE 2: TO WHAT EXTENT DO YOU AGREE WITH THE STATEMENT: "IN PRINCIPLE, TRANSFORMATIVE JOURNALS CAN BE A USEFUL AND VIABLE ROUTE TO FULL AND IMMEDIATE OA"?**

Question 5 asked for respondents' reaction to the statement: "the draft framework provides a viable route by which publishers could implement a publishing option in line with the Plan S principles". There were no null responses to this question. The highest proportion of respondents that expressed a preference disagreed or strongly disagreed with the statement (43, 49%).

Figure 3 shows that the majority of librarians tended to agree with the statement (12, 14%), they also provided the highest number of neutral responses (4, 5%). The majority of learned societies and publishers either disagreed or strongly disagreed (27, 31%). Researcher responses were split between agree (11, 13%), neutral (2, 2%) and disagree (8, 9%).



Who are the respondents

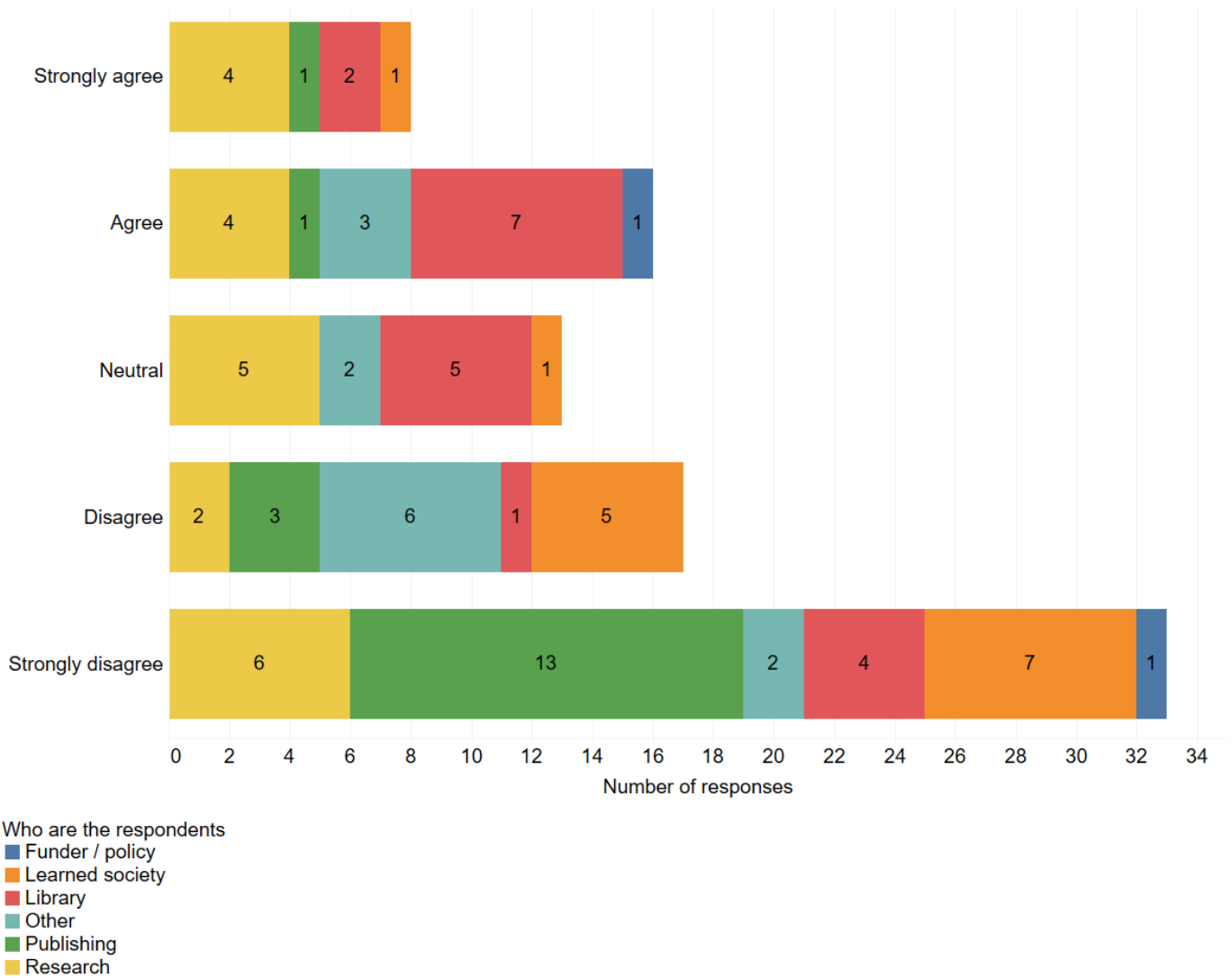
- Funder / policy
- Learned society
- Library
- Other
- Publishing
- Research

**FIGURE 3: TO WHAT EXTENT DO YOU AGREE WITH THE STATEMENT: "THE DRAFT FRAMEWORK PROVIDES A VIABLE ROUTE BY WHICH PUBLISHERS COULD IMPLEMENT A PUBLISHING OPTION IN LINE WITH THE PLAN S PRINCIPLES"?**

## Requirements for Transformative Journals

Question 6 stated that ‘the draft framework specifies that a Transformative Journal must demonstrate an annual increase in the OA penetration rate of at least eight percentage points year-on-year, measured on a three-year rolling period. To what extent do you agree that this is fair and achievable?’ There were no null responses to this question. The majority of respondents answered that they disagreed or strongly disagreed with the statement (50, 57%).

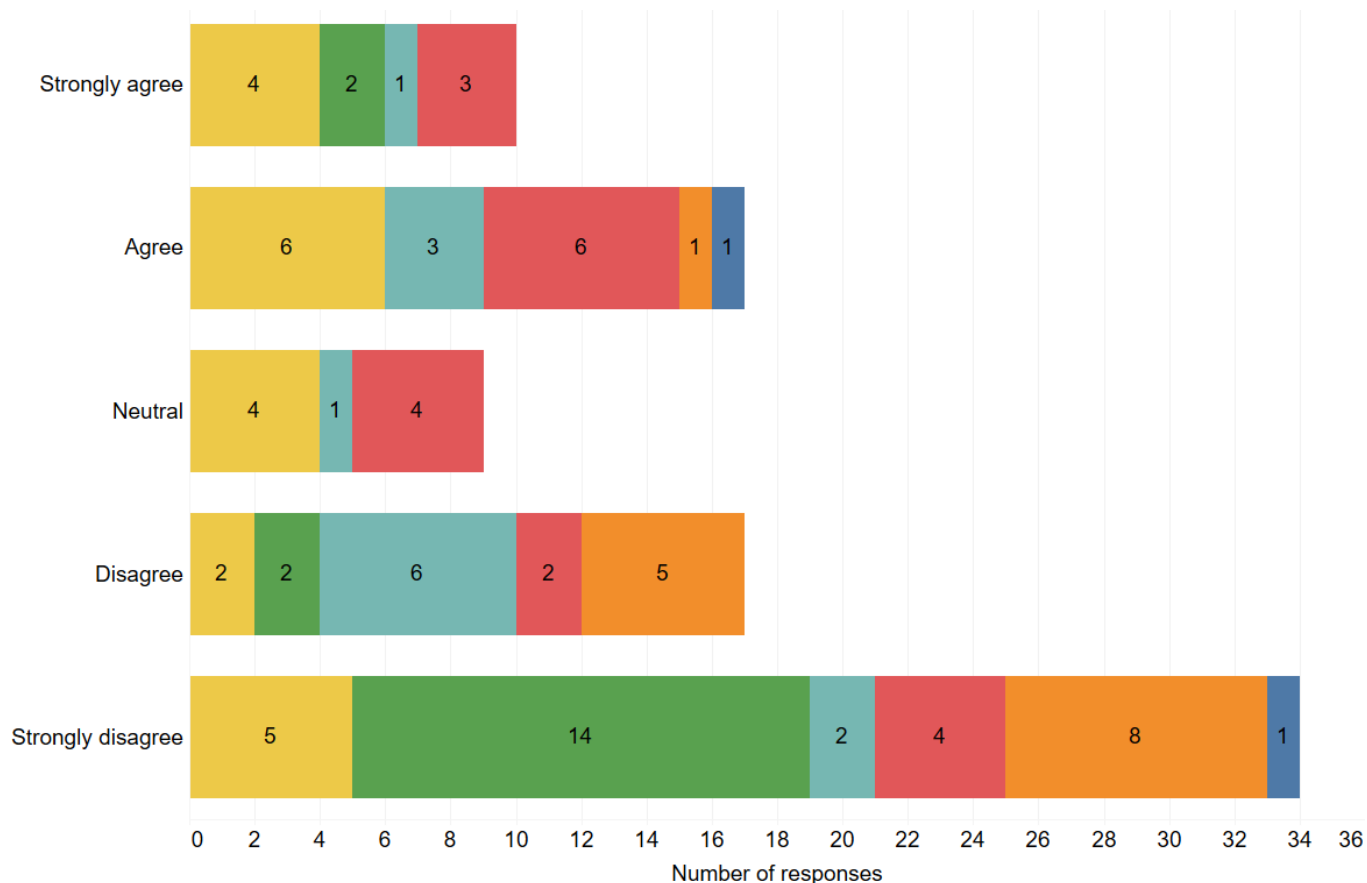
Figure 4 shows that respondents who identified themselves as librarians provided the highest combined number of responses strongly agreeing and agreeing (9, 10%) with the statement. An equal number of researchers agreed and disagreed. The vast majority of publishers (16, 18%) and learned societies (16, 18%) disagreed with the statement.



**FIGURE 4: TO WHAT EXTENT DO YOU AGREE THAT IT IS FAIR AND ACHIEVABLE FOR ‘TRANSFORMATIVE JOURNAL [TO] DEMONSTRATE AN ANNUAL INCREASE IN THE OA PENETRATION RATE OF AT LEAST EIGHT PERCENTAGE POINTS YEAR-ON-YEAR, MEASURED ON A THREE-YEAR ROLLING PERIOD’.**

Question 7 stated that ‘in addition to the 8% increase on OA penetration, year-on-year, the publishers of Transformative Journals must agree to either flip them to OA either when 50% of the content is OA, or by 31st December 2024. To what extent do you agree that these are fair and achievable?’ There were no null responses to this question. The majority of respondents that expressed a preference either disagreed or strongly disagreed with the statement (51, 59%).

Figure 5 shows that researchers and libraries were split between agreeing and disagreeing with the statement. All but one learned society and all but two publishers disagreed with the statement.



Who are the respondents

- Funder / policy
- Learned society
- Library
- Other
- Publishing
- Research

**FIGURE 5: IN ADDITION TO THE 8% INCREASE ON OA PENETRATION, YEAR-ON-YEAR, THE PUBLISHERS OF TRANSFORMATIVE JOURNALS MUST AGREE TO EITHER FLIP THEM TO OA EITHER WHEN 50% OF THE CONTENT IS OA, OR BY 31ST DECEMBER 2024. TO WHAT EXTENT DO YOU AGREE THAT THESE ARE FAIR AND ACHIEVABLE?**

## Written responses

This section shows the number of responses provided to questions 6a, 7a and 8 by respondent groups. Eight respondents provided comments on the criteria for transformative journals after the consultation’s closing date.

### Number of responses

Question 6a. asked respondents to specify, if they disagreed with the proposed 8% increase in OA penetration rate year-on-year, what target they would support and why. There was a 2000-character limit to this response. 52 respondents provided comments to this question, with publishers providing the highest number of responses (Table 2).

Who are the respondents	Number of responses
Funder / policy	3
Learned society	11
Library	5
Other	9

Publishing	17
Research	9
Total	52

**TABLE 2: RESPONSES TO QUESTION 6A. BY RESPONDENTS GROUP**

Question 7a. asked respondents, if they disagreed with the proposal to flip journals to OA when they reached 50% of OA content or by 31 December 2024, to specify what target they would support and why. There was a 2000-character limit to this response. 54 respondents provided comments and publishers provided the highest number of responses (Table 3).

Who are the respondents	Number of responses
Funder / policy	3
Learned society	12
Library	6
Other	9
Publishing	17
Research	7
Total	54

**TABLE 3: RESPONSES TO QUESTION 7A. BY RESPONDENTS GROUP**

Question 8 asked respondents if they had any further comments. 71 respondents provided further information, once again publishers provided the highest number of responses (Table 4).

Who are the respondents	Number of responses
Funder / policy	4
Learned society	10
Library	13
Other	12
Publishing	18
Research	14
Total	71

**TABLE 4: RESPONSES TO QUESTION 8 BY RESPONDENTS GROUP**

# Annex 1: cOAlition S consultation on transformative journals framework

## Introduction

The Plan S guidelines note that cOAlition S will "consider developing a potential framework for 'transformative journals' where the share of Open Access content is gradually increased, where subscription costs are offset by income from payments for publishing services (to avoid double payments), and where the journal has a clear commitment to transition to full Open Access in an agreed timeframe".

We are now asking for feedback on this potential framework, which you can find here. We recommend that you open this document in a separate window, so that you can refer to it as you are answering the questions in this short survey. The survey will take approximately 10-15 minutes to complete.

Please provide your feedback by 9am CET time on 6th January 2020. We will consider all the feedback received and hope to release a final version of this framework in early 2020.

For reference, you can find the whole survey as a PDF document here\*. However, please use this online survey to provide feedback. We will not be able to accept feedback submitted in other ways.

## Privacy notice

Information that you provide is anonymous and will be held on a secure database. It will be used by cOAlition S and those working on its behalf to inform a revision to the framework as described above. Following that revision, all the anonymous information provided by respondents to this survey will be made publicly available.

[\* updated 16 Dec with correct character limits]

## About you

1. Are you responding as an individual or on behalf of an organisation?

## More about you

2. What is your principal expertise?
  - a. If you selected Other, please specify:

## About your organisation

3. On behalf of what kind of organisation are you responding?
  - a. If you selected Other, please specify:

## Transformative Journals - overall views

"Transformative journals" are journals where the share of Open Access content is gradually increased, where subscription costs are offset by income from payments for publishing services (to avoid double payments), and where the journal has a clear commitment to transition to full Open Access in an agreed timeframe. They also meet the other requirements of Plan S.

4. To what extent do you agree with the statement: "in principle, transformative journals can be a useful and viable route to full and immediate OA"? [The draft framework for transformative journals is [here](#).]
5. To what extent do you agree with the statement: "the draft framework provides a viable route by which publishers could implement a publishing option in line with the Plan S principles"?

## Requirements for Transformative Journals

6. The draft framework specifies that a Transformative Journal must demonstrate an annual increase in the OA penetration rate of at least eight percentage points year-on-year, measured on a three-year rolling period. To what extent do you agree that this is fair and achievable?
  - a. If you disagree that this is fair and reasonable, then please specify what target you would support, and why. [2000-character limit]



7. In addition to the 8% increase on OA penetration, year-on-year, the publishers of Transformative Journals must agree to either flip them to OA either when 50% of the content is OA, or by 31st December 2024. To what extent do you agree that these are fair and achievable?
  - a. If you disagree with this, please specify what target (percentage of OA, or date) you would support, and why. [2000-character limit]

**Final comments**

8. If you have any further comments on the proposed framework for Transformative Journals, please add them here.

**Thank you**

Thank you very much for taking the time to respond to this consultation on Transformative Journals. cOAlition S will analyse the responses and hope to release a framework for Transformative Journals as an addendum to the Plan S guidelines in early 2020. We also intend to publish all the responses to the consultation.