



Plan S

Making full & immediate
Open Access a reality

Plan S and cOAlition S: towards full and immediate Open Access

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Seminar | 14-15 October 2021

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cOAlition S

27 organizations worldwide

National funders

- Austria: FWF
- Finland: AKA
- France: ANR
- Ireland: SFI
- Italy: INFN
- Luxembourg: FNR
- Netherlands: NWO
- Norway: RCN
- Poland: NCN
- Portugal: FCT
- Quebec: QRF
- Slovenia: ARRS
- Sweden: FORMAS, FORTE, VINNOVA
- UK: UKRI

European Commission (Horizon Europe)

Charitable foundations

- The Wellcome Trust
- The Bill & Melinda Gates Foundation
- Howard Hughes Medical Institute (HHMI)
- Aligning Science Across Parkinson's (ASAP)
- Templeton World Charity Foundation (TWCF)

Global dimension

- World Health Organisation + TDR
- Jordan: HCST
- Zambia : NSTC
- South Africa : SAMRC
- African Academy of Sciences

\$40bn/year in research funds, 150k articles/ year

Why Plan S?

- ◉ **We want to accelerate the transition to full and immediate Open Access**

Many funders have supported ‘hybrid’ Open Access (a journal that is part subscription part OA) for more than 15 years, but this model has not provided a *transition* to Open Access: stagnation at 20% OA.

| Publisher | Current number of subscription journals | Number of subscription titles flipped to OA |
|-----------|---|---|
| Elsevier | Approx. 2400 titles | 69 |
| Wiley | Approx. 1600 titles | 23 |
| Springer | Approx. 1900 titles | 19 |



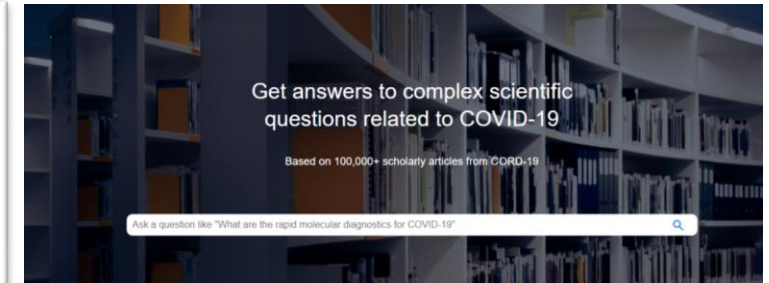
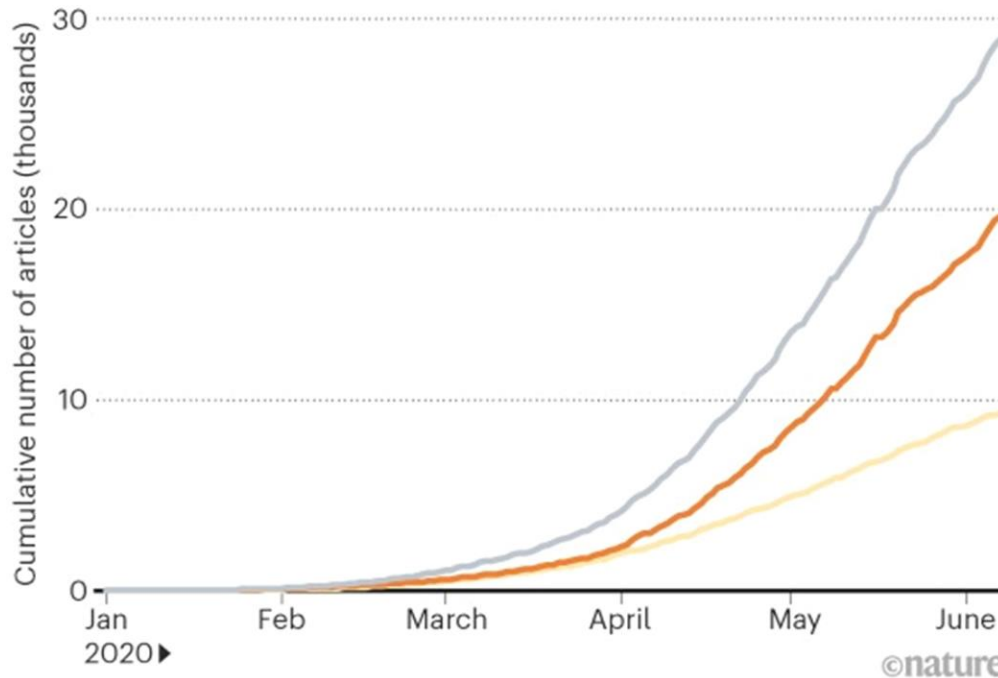
Why Plan S?

- All research articles should be immediately available and fully reusable
 - 2m research articles published each year: more researchers and new AI technologies need immediate access to these to uncover new knowledge

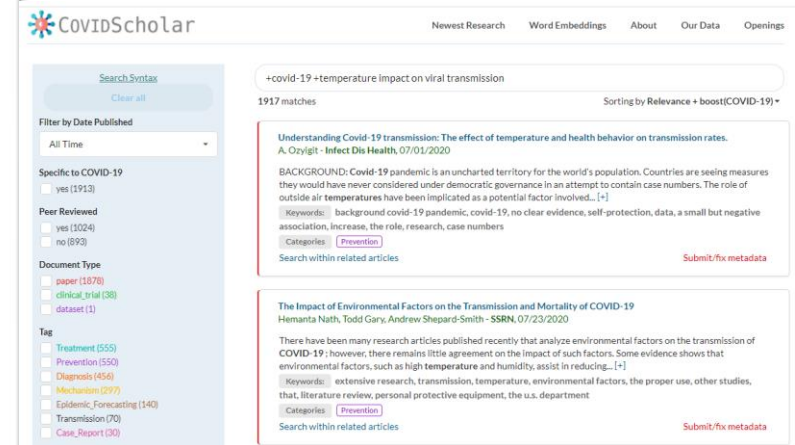
EXPLOSIVE GROWTH

Since 1 January, nearly 30,000 articles on COVID-19 have been published, according to the the NIH's COVID-19 Portfolio.

— Total COVID-19 — Peer reviewed — Preprints



<https://covid19-research-explorer.appspot.com>



<https://covid scholar.org>



PRINCIPLES

Plan S: strong principles

- ⦿ Open Access must be **immediate: no embargo periods**
- ⦿ Publication under a **CC-BY license**: authors retain their intellectual property rights, and allow others to reuse it if proper credit is given.
- ⦿ No ‘hybrid’ model of publication, except as a transitional arrangement with a defined endpoint
- ⦿ Pricing, contracts and publication fees should be transparent and in line with the services provided
- ⦿ **Funders** commit to support such publication fees, **individual researchers do not pay**
- ⦿ A commitment to assess research outputs based on their **intrinsic merit** and NOT their venue of publication or quantitative metrics



Plan S: implementation

- ⦿ No Open Access business models favored, no ‘silver bullet’ approach.
- ⦿ A pragmatic approach of **integrated policies** at all levels of Open Access
- ⦿ Alignment and coordination with other organizations: university libraries (LIBER, ARLA...), university associations (EUA, LERU...), Confederation of Open Access Repositories (COAR), OA2020, SPARC.
- ⦿ In contact with publishers and publisher organizations about our policies
- ⦿ Monitoring how Plan S affects Early Career Researchers (ECR): Global Young Academy (GYA), Marie Curie Alumni Associations (MCAA), Young Academy Europe (YAE), Eurodoc.
- ⦿ Global network of Plan S Ambassadors: academics and Open Access advocates who engage with the community and share their ideas.

Plan S: three routes to compliance

Route 1

Open Access venues

- Authors publish in Open Access journal or platform indexed by *Directory of Open Access Journals* (DOAJ)
- cOAlition S funders financially support publication fees for author

Route 2

Subscription journals

- Authors publishing in a subscription journal **must** make the *Version of Record* or *Author Accepted Manuscript* (AAM) instantly available in a repository
- ***NOT*** financially supported by cOAlition S funders

Route 3

Journals under a transformative arrangement

- Authors publish in a journal with a Transformative Arrangement.
- cOAlition S funders ***CAN*** financially support Transformative Arrangements

Route 2 and Rights Retention

⦿ Rights Retention Strategy (RRS):

cOAlition S grant holders are now required via their grant conditions to inform publishers that a prior public (CC BY) licence is applied to any future AAM arising from their submissions.

⦿ Authors add a statement to their submission:

“This research was funded, in whole or in part, by [Organisation Name, Grant #]. A CC BY licence is applied to the AAM arising from this submission, in accordance with the grant’s open access conditions.”

⦿ Authors can publish in any peer reviewed journal and deposit a copy of the CC BY licensed AAM in an Open Access repository at publication.

⦿ Since the CC BY licence to the future AAM is in place **prior** to the publication agreement with the author, that CC BY licence will take **legal precedence** over any conflicting language in the publication agreement.



Route 2 and Rights Retention

- Researchers take back control of the distribution and reuse of their AAM.
- **Publisher pushback:** few cases of outright refusal of submissions with the RRS language, but lots of smoke & mirrors:
 - Steering authors from journal of choice to APC OA journals (Elsevier)
 - Misleading information for researchers.
 - Asking researchers to sign a contract to not disseminate the AAM, in violation of their grant agreement.
- Reaction from EUA & CESAER (880 universities in Europe).
- **RRS and repositories:**
 - Plan S technical requirements for repositories, in collaboration with *Confederation of Open Access Repositories* (COAR).
 - Most repositories on their way to compliance.
 - OpenDOAR *Repository Assessment Service* (RAS) helps repositories self-assess technical compliance.

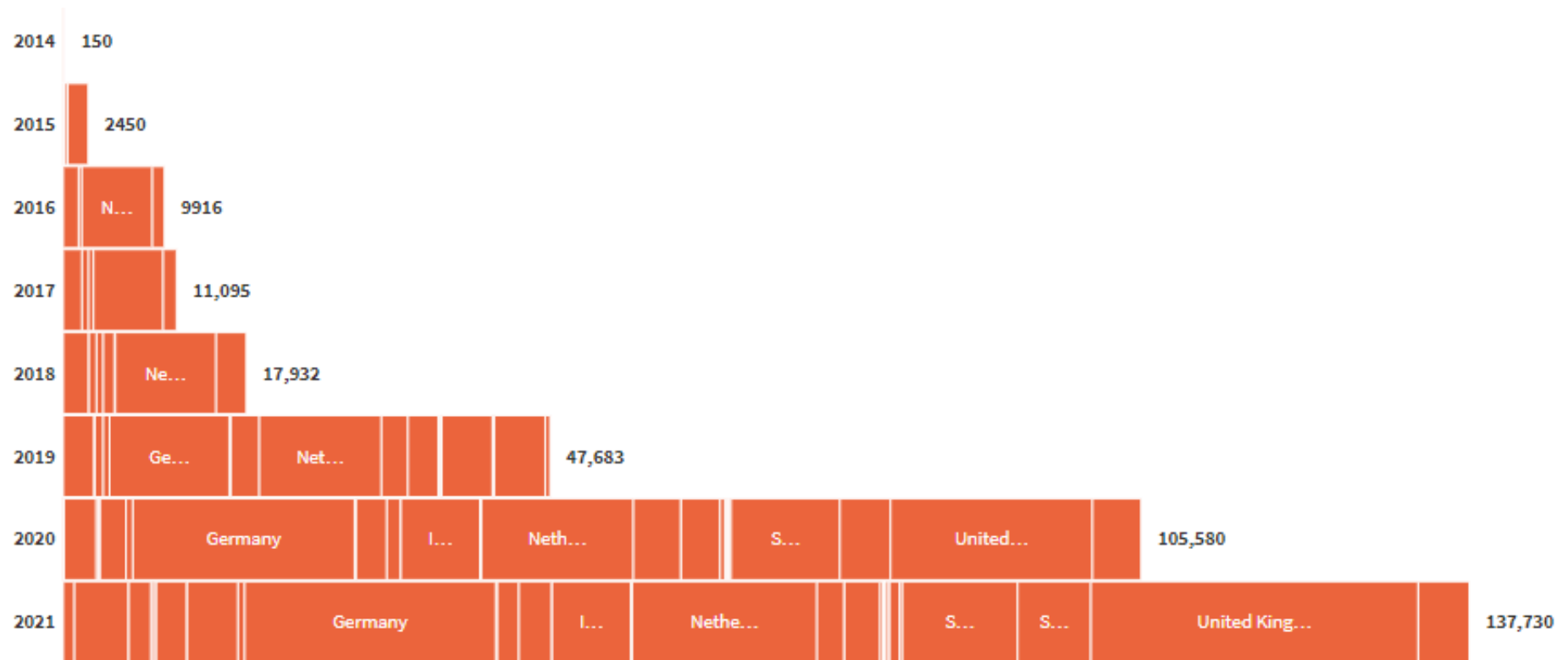


Route 3: Transformative Arrangements

- ⦿ Transformative Arrangements refer to publishing models where the publisher is **committed to transitioning subscription and hybrid journals to Open Access**
 - ⦿ Transformative Agreements (TAs)
 - ⦿ Read & Publish deals
 - ⦿ Subscribe to Open (S2O)
 - ⦿ Transformative Journals
- ⦿ This transition occurs at the level of library consortia, with the journals becoming gradually more Open Access as more library consortia conclude deals that give their researchers access to read and to publish.
- ⦿ Some funders financially contribute to these initiatives, or are involved in the negotiations leading to these agreements.

Supporting Transformative Agreements

- Many cOAlition S funders support Transformative Agreements and contribute to the massive increase in OA articles



Source: [ESAC Transformative Agreement Registry](#) • Click on a country or year to filter.
Last updated: 18-06-2021

Supporting new publishing models

- ⦿ The **Transformative Journal** model encourages subscription publishers to transition to OA: clear KPIs and a commitment to transition to OA
- ⦿ Adopted by major publishers, including ACM, Cambridge University Press, Elsevier, Karger, Oxford University Press, Royal Society, Springer Nature

| | OA research articles published in 2020 | Total research articles in 2020 | % of OA in 2020 | Target % of OA for 2021 | Target number of OA research articles for 2021 (based on the same Total research articles published as in 2020) |
|--|--|---------------------------------|-----------------|-------------------------|---|
| <i>Biology Letters</i> | 46 | 186 | 25 | 30 | 55 |
| <i>Journal of the Royal Society Interface</i> | 71 | 261 | 27 | 32 | 84 |
| <i>Proceedings of the Royal Society A: Mathematical, Physical and Engineering Sciences</i> | 47 | 321 | 15 | 20 | 63 |
| <i>Proceedings of the Royal Society B: Biological Sciences</i> | 159 | 564 | 28 | 33 | 187 |

Royal Society's TJ's – and public target OA for 2021

<https://royalsociety.org/journals/free-content/>



Journal Checker Tool (JCT)

- To help researchers navigate the complexity of Open Access routes, cOAlition S has developed the *Journal Checker Tool* (JCT)
- The JCT allows researchers to identify how journals can meet their Open Access obligations. <https://journalcheckertool.org>

Is this compliant with Plan S?

JOURNAL + MY FUNDER + MY INSTITUTION =

Cell (Elsevier), ISSN: 0 + Wellcome + University North (

No affiliation

Yes, this combination is compliant.



Price and Services Transparency

- ⦿ cOAlition S aims to make the nature and prices of OA publishing services more transparent to make sure that prices are fair and reasonable.
- ⦿ Two **price transparency frameworks**: a set of services that need to be individually priced to they can be compared.
- ⦿ Currently selecting a provider to build such a service.
- ⦿ For reasons of **competition law**, publishers should not be allowed to see each other's price information.
- ⦿ The service will therefore only be accessible to selected users (university libraries, consortia, funders)
- ⦿ cOAlition S hopes that price comparison will exert downward pressure on prices and create a more open market for publishing services

Diamond publishing

- ◉ Diamond Open Access:
 - Free for authors and readers (rarely use per unit payments)
 - Often non-commercial, community-owned, and scholar-led.
- ◉ Study on Diamond OA publishing by OPERAS-led consortium: findings, recommendations, and a dataset.

<https://zenodo.org/record/4558704#.YO6YwS0RoRw>





The OA Diamond Journals Study

Findings & Recommendations

Quantitative and qualitative analysis of a database of Diamond journals, a survey of 1619 journals, and focus group interviews.

- ⦿ An archipelago of about 29k relatively small journals (11.5k in DOAJ)
- ⦿ 60.6% in SSH, 17.1% in medicine, 22.2% in science
- ⦿ Publishing 44% of articles in fully OA journals, and 8-9% of total publishing volume (compare 10-11% for APC Gold)
- ⦿ Wide diversity of communities, often national journals & authors, but with an international audience; frequently multilingual.
- ⦿ Recommendations:
 - International Workshop and Symposium within 6 months
 - A funding strategy within 12 months
 - A Diamond Publishing Capacity Center within 24 months.

Questions & Discussion



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