

The background is filled with various line-art icons in grey and orange. These include server racks, a cloud with a downward arrow, a network diagram with a central node and four peripheral nodes, a hard drive, a padlock, a globe, a smartphone, a gear, a magnifying glass, a pair of glasses, a clock, a plus sign, a multiplication sign, a curly brace, and a speech bubble.

Plan S and funding –
what is going to change?

Projekt open-access.network, TIB
29 October 2020

Johan Rooryck | Executive Director, cOAlition S

Summary



- ⦿ cOAlition S
- ⦿ Why Plan S ?
- ⦿ Plan S: strong principles
- ⦿ Implementation:
 - ⦿ 3 routes to compliance
 - ⦿ Transformative Arrangements
 - ⦿ The Rights Retention Strategy
- ⦿ Working with key stakeholders
- ⦿ Other activities
- ⦿ Questions and discussion





cOAlition S: 25 organizations

National European funders:

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

European Commission:
(Horizon Europe framework)

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

São Paulo Statement

AmeliCA, SciELO, African Open Science Platform, OA2020, cOAlition S.

Coordinated action with OA2020
Coordinated action with COAR



Why Plan S ?

Funders



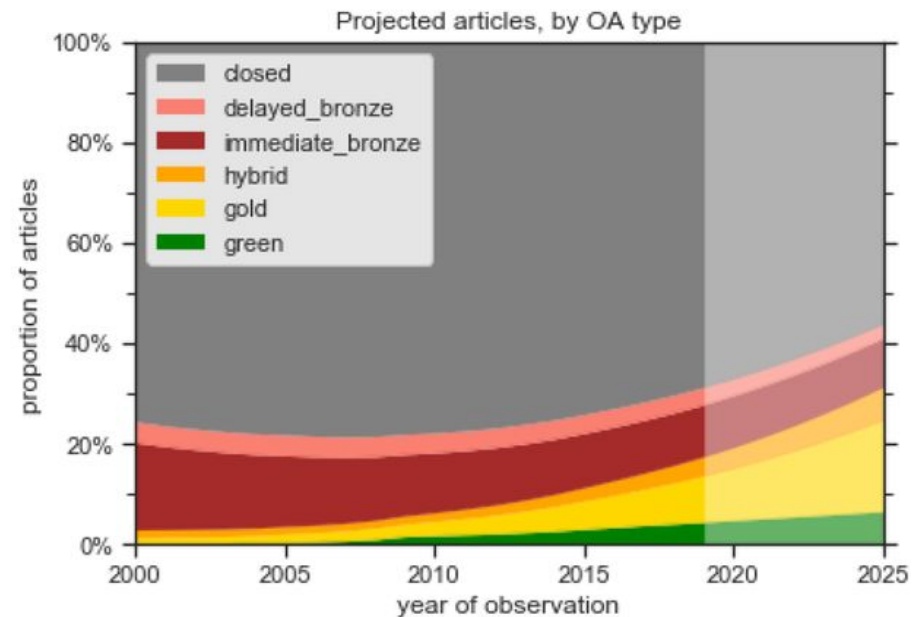
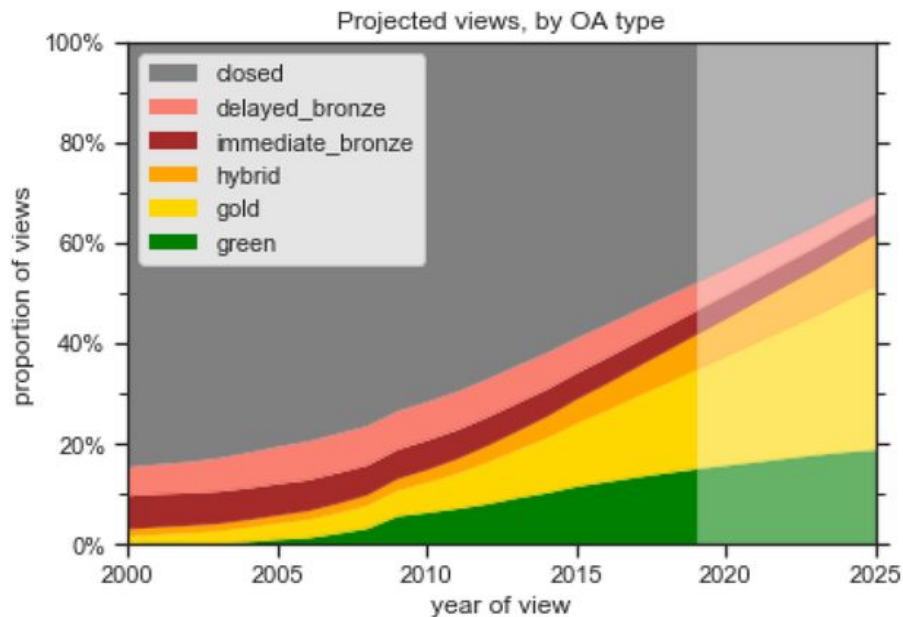
- ⦿ Research funding organizations in cOAlition S want:
 - ⦿ To accelerate science by making research results immediately available to the largest possible audience worldwide.
 - ⦿ Greater transparency in research communication
 - ⦿ A cost-effective transition from the (unsustainable) subscription model to an Open Access model.
 - ⦿ Use their funding to drive academic publishing towards full and immediate Open Access





Why Plan S ?

Research visibility



In 2019:

- 31% of all journal articles are available as “OA”
- 52% of article views are to “OA” articles

Given existing trends, we estimate that by 2025:

- 44% of all journal articles will be available as “OA”
- 70% of article views will be to “OA” articles

Heather Piwowar, Jason Priem, & Richard Orr (2019) The Future of OA: A large-scale analysis projecting Open Access publication and readership. doi: <https://doi.org/10.1101/795310>



Plan S : strong principles

- ⦿ Research results are a public good and should be immediately available so as to accelerate science
- ⦿ **No more paywalled publications**
- ⦿ Open Access must be **immediate:**
no embargo periods
- ⦿ Publication under a **CC-BY license** by default, **no copyright transfer** (*Principle 1*)
- ⦿ No 'hybrid' model of publication, except as a transitional arrangement with a defined endpoint





Plan S : strong principles

- ⦿ Pricing, contracts and publication fees should be transparent and reasonable (*Principle 5*)
- ⦿ **Funders** commit to support such publication fees, **individual researchers do not pay** (*Principle 4*)
- ⦿ **Multiple routes** to OA compliance (*Principle 5*)
- ⦿ A commitment to assess research outputs based on their **intrinsic merit** and NOT their venue of publication or quantitative metrics, following e.g. DORA (*Principle 10*).



Implementation



⦿ **Timeline:**

- ⦿ Publications from calls published as of 1 January 2021 must be in Open Access.
- ⦿ Transformative Arrangements will be supported until the end of 2024
- ⦿ **Goal:** Provide routes that allow **ALL** cOAlition S grant holders to publish Open Access in **ANY** journal of their choice.
- ⦿ **Three routes to compliance :**
 - ⦿ Full Open Access journals and platforms.
 - ⦿ The repository route via the Rights Retention Strategy.
 - ⦿ Transformative Arrangements.



Implementation

Routes to compliance



Gold & Diamond route

- ⊙ **Open Access journals/ platforms**
- ⊙ Authors publish in Open Access journal...
- ⊙ ... cOAlition S funders financially support publication fees for author.

Green route

- ⊙ **Subscription journals**
- ⊙ Authors **can** publish in a subscription journal...
- ⊙ ...*IF* they make the Version of Record or Author Accepted Manuscript instantly available in a repository
- ⊙ cOAlition S funders do ***NOT*** financially support publication fees in 'hybrid' subscription journals

Transformative route

- ⊙ **Hybrid/ subscription journals**
- ⊙ Authors publish in a journal with a Transformative Arrangement (Transformative Agreement/ Journal).
- ⊙ cOAlition S funders ***CAN*** financially support Open Access under Transformative Arrangements

Implementation

Developing a Journal Checker Tool

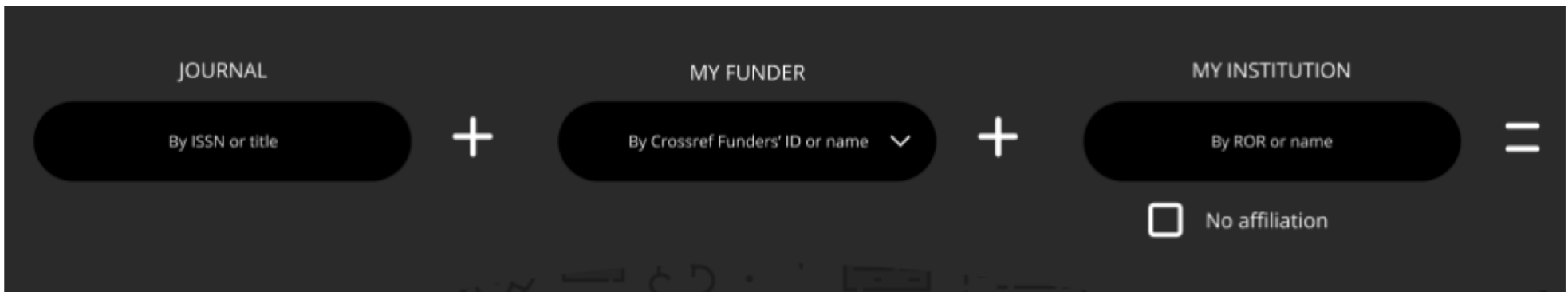


- ⦿ cOAlition S grant holders must be able to check via which route their journal of choice meets cOAlition S requirements.
- ⦿ A *Journal Checker Tool* will allow researchers to identify journals that enable compliance with Plan S.
- ⦿ Work has started, the JCT will *be* available 1 January 2021.
- ⦿ The initial focus will be on identifying publishing venues that:
 - ⦿ offer a route to compliance, as set out in the *Implementation* of Plan S
 - ⦿ offer a CC-BY option to all researchers working under a Plan S policy
 - ⦿ allow the author to retain copyright

Implementation

Making it easy: Journal Checker Tool

- cOAlition S grant holders must be able to identify how their journal of choice meets their funders Plan S aligned OA policy.
- A *Journal Checker Tool* (JCT) is being developed by Cottage Labs in partnership with Antleaf.



The screenshot shows the Journal Checker Tool interface. It features three main input sections: 'JOURNAL' with a sub-label 'By ISSN or title', 'MY FUNDER' with a sub-label 'By Crossref Funders' ID or name' and a dropdown arrow, and 'MY INSTITUTION' with a sub-label 'By ROR or name' and a dropdown arrow. Each section is separated by a plus sign (+). Below the 'MY INSTITUTION' section, there is a checkbox labeled 'No affiliation'.

- This combination enables a researcher to find out how their journal of choice complies with Plan S.
- A first iteration of the JCT will be available 1 January 2021.

Implementation

Transformative arrangements (1)



Plan S supports three strategies:

1. *Transformative agreements (TAs)*

- ⦿ TAs are contracts between library consortia and publishers that convert current subscription costs into Open Access publishing costs.
- ⦿ OA2020 promotes TAs to accelerate the transition to Open Access
- ⦿ **OA2020 aims for cost-neutral TAs** (i.e. subscription cost to Publish & Read)
- ⦿ cOAlition S recommends fully transparent TAs in collaboration with national funders



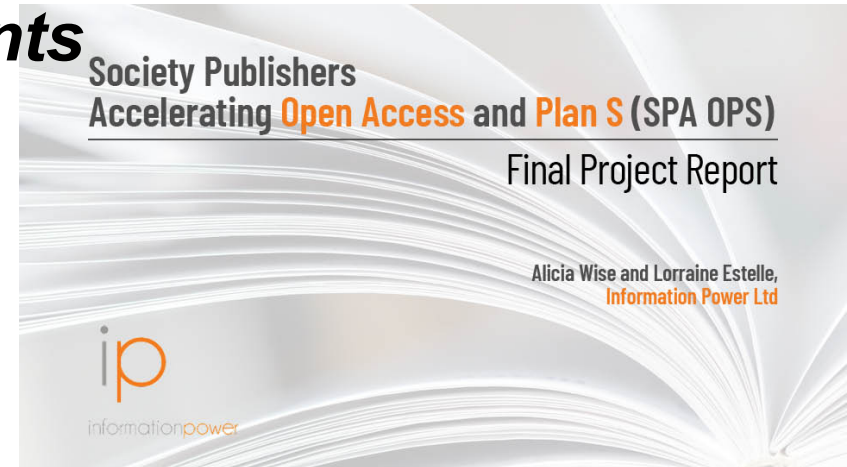
Implementation Transformative arrangements (2)



2. *Transformative model agreements*

Report, Model Agreement, and implementation toolkit published on 12 September 2019

<https://wellcome.figshare.com/>



- ⦿ Societies can use this Transformative Model Agreement as early as 2020
- ⦿ Libraries continue to pay their old subscription in exchange for immediate Open Access of all journal content. No APCs.
- ⦿ The Microbiology Society is negotiating a TMA for its 6 journals with the help of JISC.
- ⦿ <https://zenodo.org/record/3406178#.XhH0-i2ZNiN>

Implementation

Transformative arrangements (3)



3. *Transformative journals (TJs)*

A framework for accelerating journal transitions where:

- The share of Open Access content is gradually increased with at least 5% in absolute terms and at least 15% in relative terms, year-on-year
- Subscription costs decrease as income from Open Access fees increases (no double payments)
- The journal commits to transition to full Open Access and no later than when 75% of research content is published Open Access

On 8 April 2020, Springer Nature adopted the Transformative Journal framework.



Rights Retention Strategy

The problem



- cOAlition S researchers who wish to publish in a subscription journal must deposit their Author Accepted Manuscript (AAM) in a repository, with a CC BY license and zero-embargo.
- cOAlition S funders **require** this via their grant agreement.
- **But** researchers will also be asked to sign a publishing agreement that gives away their right the AAM.
- This leads to a **contradiction** between the researchers' grant agreement and the publishing agreement.
- The Rights Retention Strategy resolves this contradiction.



Rights Retention Strategy

Three steps towards a solution



- 1: Update grant conditions (and notify beneficiaries)
- 2: Notify publishers of these changes
- 3: Require beneficiaries to include details of the public licence in their submissions

Rights Retention Strategy

Step 1: updating grant conditions



cOAlition S organisations change their grant conditions. Grant holders will now have to:

- Apply (by default) a public copyright licence (CC BY(-ND)) to all their future Author Accepted Manuscripts (AAMs);
- Specify the public copyright licence that has been applied - and the source of their funding in all submissions;
- Make the AAM arising from these submissions available in an Open Access repository of their choice at the time of publication.

Rights Retention Strategy

Step 2: informing publishers



- ⊙ We contacted 150 publishers who collectively publish over 95% of research attributed to cOAlition S organisations to make them aware of these changes.
- ⊙ We will run webinars, talk to publisher trade bodies, and work to communicate this approach far and wide.
- ⊙ We invited publishers to respond – with a choice of 5 options – how they will deal with AAMs that are licensed CC BY.
- ⊙ This information will be incorporated in the Journal Checker Tool.

Rights Retention Strategy

Step 3: License specified in submission



- ⦿ Provide templated language for cOAlition S funded researchers to include in their submissions:

“This research was funded in whole or in part by the [Funder name] [Grant number]. For the purpose of open access, the author has applied a CC-BY public copyright licence to any Author Accepted Manuscript version arising from this submission”

Rights Retention Strategy

How it works: legal precedence



- ⦿ The public license CC BY requirement in the grant agreement with the cOAlition S funder **takes legal precedence** over any later copyright agreement with the publisher.
- ⦿ *An assignee or exclusive licensee of copyright takes that assignment or exclusive licence subject to any prior grant of rights to the copyright work of which they had notice. As a CC BY to the future AAM was already in place, prior to the publication agreement with the author, that CC BY will trump any conflicting language in the publication agreement.*

Working with key stakeholders: researchers



Ambassadors

- Working with researcher groups to ensure we understand their concerns and find ways of mitigating them
- Ambassador network established – to engage with research community and share concerns with cOAlition S leadership team



Wilson López-López
Pontifical Xavierian University



Virginia Barbour
Australasian Open Access Strategy Group and Queensland University of Technology



Alain Beretz
University of Strasbourg



Jean-Sébastien Caux
University of Amsterdam



Susmita Das
Bangladesh Agricultural Research Council



Martin Paul Eve
Birkbeck, University of London



Sabina Leonelli
University of Exeter



Elizabeth Marincola
The African Academy of Sciences



Erin McKiernan
Departamento de Física, Facultad de Ciencias, Universidad Nacional Autónoma de México



Frank Miedema
Utrecht University and UMC Utrecht



Cameron Neylon
Centre for Culture and Technology, Curtin University



Gareth O'Neill
Leiden University



Ahmed Oguntaja
Open Access Nigeria



Jessica Polka
ASAPbio



Harold Varmus
Lewis Thomas University Professor, Weill Cornell Medicine, New York, and Senior Associate Member, New York Genome Center

Working with key stakeholders: early career researchers (ECR)



- cOAlition S has established a Task Force to measure the impact of Plan S on ECRs, including representatives from 4 ECR organizations:

Global Young Academy (GYA), Young Academy Europe (YAE), Marie Curie Alumni Association (MCAA), and EuroDoc.



eurodoc

The European Council of Doctoral Candidates and Junior Researchers



Working with key stakeholders: publishers



- 🎯 In active discussions with publishers – such as the Society Publishers’ Coalition, Springer Nature and others – to explore the “transformative journal” model

SPRINGER NATURE Q Se

What we do | Springboard blog | Opening up research

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SN Springer Nature Group
By: Steven Inchcoombe, Tue May 7 2019

At Springer Nature we want to find the fastest and most effective route to immediate open access (OA) for all primary research. This blog describes a potential significant way to progress it and we are asking other interested stakeholders to read, consider and comment on this [LinkedIn post](#) so all can see if this would receive widespread support.

Author: Steven Inchcoombe
Chief Publishing Officer at Springer Nature

[in](#)

A FASTER PATH TO AN OPEN FUTURE



Society Publishers' Coalition

Mission statement

The Society Publishers' Coalition (SocPC) is a group of likeminded, not-for-profit learned societies, community publishers and membership charities who publish as part of their charitable objectives and who re-invest the surplus from their publishing into the disciplinary communities they serve.

SocPC members share the common ambition to see an orderly and sustainable transition to open scholarship and to improve the efficiency of the scholarly communication ecosystem for the benefit of researchers and society at large in a fair and sustainable way. In order to help achieve this we wish to work with researchers, funders, institutions and other stakeholders.

Other activities

Transparent pricing



- ⦿ Plan S Guidance specifies: “*cOAlition S, in partnership with publisher representatives and other stakeholders, will define the various services (e.g., triaging, peer review, editorial work, copy editing) publishers will be asked to price.*”
- ⦿ cOAlition S aims to help make the nature and prices of OA publishing services more transparent, to build confidence amongst stakeholders that prices are fair and reasonable.
- ⦿ cOAlition S has recently announced their price transparency requirements.
- ⦿ From July 2022, only publishers adhering to the Plan S price transparency frameworks will be eligible to receive publication funds from cOAlition S members.

Other activities

Transparent pricing



- ⦿ The two approved price breakdown frameworks are:
 - ⦿ The *Breakdown of Publication Services and Fees* developed by the Fair Open Access Alliance (FOAA), already implemented by *Frontiers*, *MIT Press*, *Copernicus* and *MDPI*.
 - ⦿ The *Plan S Price and Transparency Framework* developed by Information Power, which has been piloted by *Annual Reviews*, *Brill*, *The Company of Biologists*, *EMBO Press*, *European Respiratory Society*, *F1000 Research*, *Hindawi*, *IOP Publishing*, *PLOS*, and *Springer Nature*.

Other activities

Transparent pricing – FOAA



The Fair Open Access Breakdown of Publication Services and Fees

Service buckets	Components	Specify	%	Price
1. Journal operations	<ul style="list-style-type: none"> - Journal support and submission system - Platform development and maintenance - Helpdesk & other support staff 	In/out house		
2. Publication	<ul style="list-style-type: none"> - Triaging - Organization peer review - Other Editorial assistance - Indexing - Archiving 	<ul style="list-style-type: none"> - Typesetting - Copy-editing - Language editing - Proofreading 	Rejection rate	
3. Fees	<ul style="list-style-type: none"> - Scientific editors fees - Scholarly societies fees 	Agreements		
4. Communication	<ul style="list-style-type: none"> - Dissemination - PR & marketing 	<ul style="list-style-type: none"> - Community support - Advocacy 		
5. General	<ul style="list-style-type: none"> - Management & administration - Other business costs - Taxes 	Can be allocated elsewhere since it is not a service		
6. Surplus/ Other revenue		<ul style="list-style-type: none"> - Can be allocated elsewhere - Cross-subsidizing of titles? 		
7. Discounts & waivers		Policy		



Other activities

Non-APC funding models

- ⦿ Principle 5: *"The Funders support the diversity of business models for Open Access journals and platforms."*
- ⦿ 'Diamond' initiatives rarely rely on per-unit payments.
- ⦿ Tender for study on 'Diamond' journals and platforms: How can Plan S funders support 'Diamond' publishing?
- ⦿ Analysis of global landscape and funding models, potential collaboration, challenges, and recommendations for funding mechanisms.
- ⦿ A consortium led by OPERAS was selected to carry out that study: <https://operas.hypotheses.org/4141>
- ⦿ An initial survey was filled out by \pm 1900 Diamond journals.
- ⦿ A full report is expected by the end of December 2020.



Working together to deliver OA

- ⦿ Plan S is part of a wider open science movement, looking to accelerate the transition to providing research results in Open Access
- ⦿ To fully deliver on its ambition – **to make full and immediate OA a reality** – we need a global coalition of funders, but also institutions, researchers, and publishers



Questions and discussion

