



El Pla S d'open access:  
reptes i oportunitats (en anglès)

Webinar: la política d'Open Access a la UB,  
Universitat de Barcelona, 27/05/2020

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# Summary



- ⦿ cOAlition S
- ⦿ Why Plan S ?
- ⦿ Plan S: strong principles
- ⦿ Implementation guidance and challenges
- ⦿ Working with key stakeholders
- ⦿ Other activities
- ⦿ Questions and discussion





# cOAlition S: 24 funders

## 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 funders:

- ⊙ European Commission
- ⊙ European Research Council

## Charitable foundations:

- ⊙ The Wellcome Trust
- ⊙ The Bill & Melinda Gates Foundation
- ⊙ Aligning Science Across Parkinson's

## 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

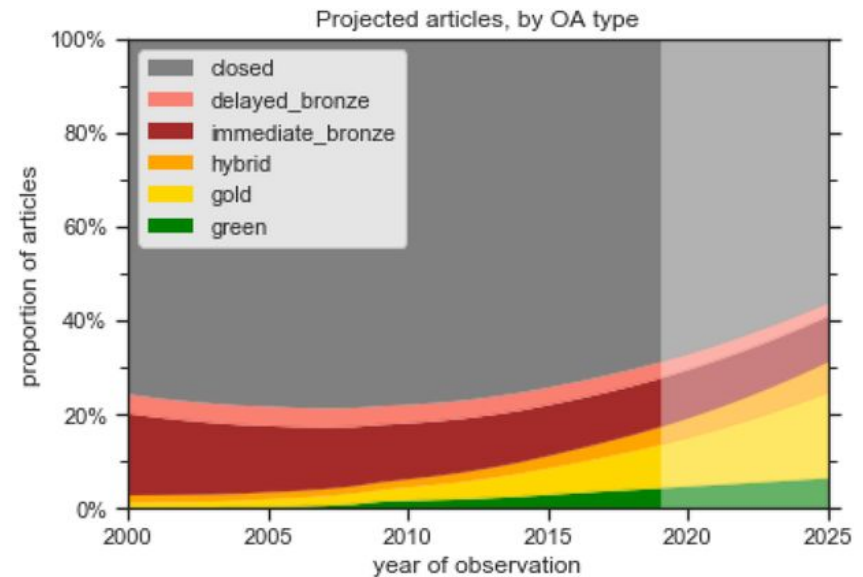
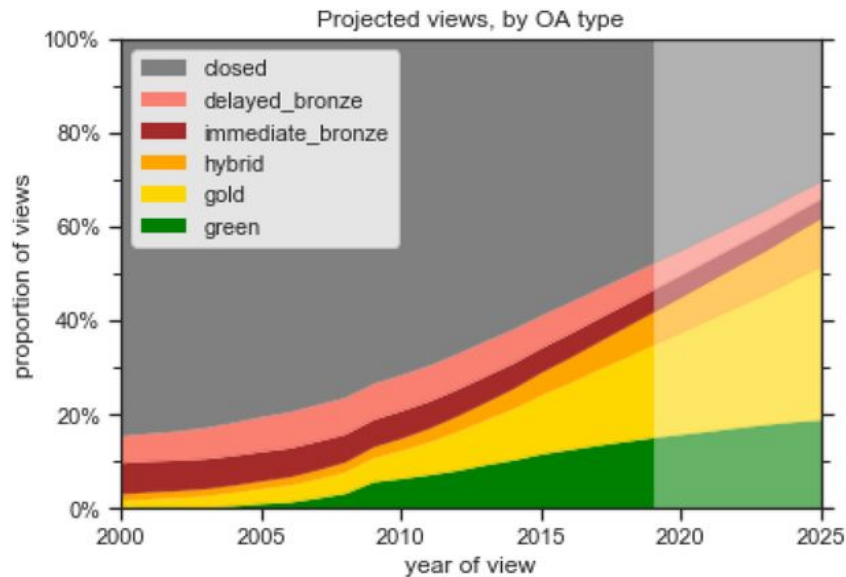
- ⦿ Research funding organizations in cOAlition S want:
  - ⦿ To accelerate science by making research results immediately available to the largest possible audience worldwide.
  - ⦿ Greater transparency in research communication
  - ⦿ A cost-effective transition from the (unsustainable) subscription 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 DORA (*Principle 10*).



# Implementation guidance: key changes



## ⦿ **Timeline extended by one year:**

- ⦿ Publications from calls published as of 1 January 2021 must be in Open Access.
- ⦿ Transformative arrangements will be supported until the end of 2024

## ⦿ **Greater clarity on compliance routes:**

- ⦿ cOAlition S supports a diversity of business models
- ⦿ Plan S is **NOT** just about Gold OA:
- ⦿ **Immediate Green is fully compliant!**







# Implementation guidance: 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.
- cOAlition S funders **\*CAN\*** financially support Open Access under Transformative Arrangements



# Implementation guidance: 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)



# Implementation guidance: Transformative arrangements (1): ESAC



- ⦿ cOAlition S encourages publishers, institutions, and library consortia to enter into TAs that adhere to Plan S principles and ESAC guidelines.
- ⦿ Temporary and transitional [Plan S – end 2024]
- ⦿ Authors retain copyright [Plan S – non-negotiable]
- ⦿ Agreements must be transparent.
- ⦿ Experience shows that national (library) consortia teaming up with national funders are best equipped to negotiate successful TAs.





# Implementation guidance: 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 guidance: Transformative arrangements (3)

## 3. *Transformative journals*

A framework for 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



# Implementation: Developing a Journal Checker Tool



- ⦿ Making it easy: a *Journal Checker Tool*, available on 1 January 2021, that allows researchers to identify journals that enable compliance with Plan S.
- ⦿ A supplier has now been selected, work has started.
- ⦿ 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

# Working with key stakeholders: researchers



- 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

## Ambassadors



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 Ogunlaja  
Open Access Nigeria



Jessica Polka  
ASAPba



Harold Varmus  
Levin 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.*



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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**A faster path to an open future**

**SN** Springer Nature Group  
By: Steven Inchoombe, 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 Inchoombe**  
Chief Publishing Officer at Springer Nature

**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.

# Working with key stakeholders: publishers




## ...other journals and publishers support “Green Open Access” (at least as an interim model)

### Plan S: the final cut

A consortium of research funders, published its revised recommendation the transition to open access for science. The fundamental principles of Plan S scholarly publication should be locked. Open access should be immediate, goes. The preferred Creative Commons Funder will support open access fees at Funder will not pay for publication if unless they are part of transformative or clearly defined open access endpoints. implementation has been extended by c

We welcome this latest guidance. V gold open access titles—*Lancet Glob Health, Planetary Health, Digital Health, EClinicalmedicine*—we have deepened our open access publication. We welcome the Coalition S regarding publication in hybrid (as *The Lancet*)—namely, “the content is available at the point of publication and



#### Green Open Access/Self Archiving

Our Green Open Access route offers all Emerald journal authors the option to make their research openly available, free from payment and embargo periods.

[READ MORE](#)

### Green Open Access: SAGE’s Archiving and Sharing Policy

**You may share the **Original Submission** or **Accepted Manuscript** at any time and in any format. Your sharing of the **Original Submission** or **Accepted Manuscript** may include posting a downloadable copy on any website, saving a copy in any repository or network, sharing a copy through any social media channel, and distributing print or electronic copies.**

For information on use of Institutional Repository (IR) copies by authors and IR users, see [Posting to an Institutional Repository - Green Open Access](#).

- As soon as we've published an article, Manuscript (AAM) can be used for a v deposit and use their AAM (aka post-1
- on their personal website
  - on their company or institution
  - on subject repositories
  - on Social Collaboration Netwo
  - with individuals requesting pers
  - for teaching and training withir theses/doctorate submissions.
- Authors may post the version of the a

# Working with key stakeholders: universities



eua EUROPEAN  
UNIVERSITY  
ASSOCIATION

## POLICY INPUT

Plan S: EUA welcomes greater clarity on  
implementation guidelines

June 2019

To summarise, EUA continues to support “Plan S” and welcomes the greater clarity provided by “cOAlition S” on the new implementation guidelines. The Association is very pleased to see that the revised guidelines address the main points raised during the consultation process, in particular the additional principle on addressing [the way research is assessed](#), as EUA sees this as one of the key factors promoting the evolution towards an effective Open Science system.

## Conclusion

All members of LERU support the move to Open Access and recognize Plan S as being a significant mechanism to deliver this goal. COAlition S has listened to concerns expressed in the consultation on its proposals and has made a real effort to address the concerns raised. The revised Implementation Plan has clearly been framed in the context of user feedback as it acknowledges that all stakeholders need to work together if it is to be a success. LERU looks forward to working with cOAlition S further to develop rules for engagement which work for *all* stakeholders in the scholarly communications landscape.

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



# Other activities

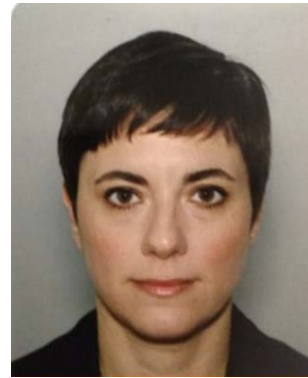
## Non-APC funding models

- 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.
- Tender closed on 24 April, 11 proposals received, outcome selection expected beginning June 2020.



# Other activities – cOAlition S office

- ⦿ A cOAlition S office has now been established at the *European Science Foundation* (ESF) in Strasbourg with €2m contributed by a subset of cOAlition S funders.
- ⦿ Nora Papp-Le Roy (Programme Manager)
- ⦿ Robert Kiley (Coordinator)
- ⦿ Johan Rooryck (Open Access Champion)







# 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

