



Plan S & cOAlition S



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Summary



Plan S

Making full & immediate
Open Access a reality

- ⊙ cOAlition S
- ⊙ Why Plan S ?
- ⊙ Plan S: strong principles
- ⊙ Implementation:
 - ⊙ 3 routes to compliance
 - ⊙ Transformative Arrangements
 - ⊙ The Rights Retention Strategy
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- ⊙ Questions and discussion

cOAlition S: 26 organizations worldwide



National European funders:

- Austria: FWF
- Finland: AKA
- France: ANR
- Ireland: SFI
- Italy: INFN
- Luxembourg: FNR
- Netherlands: NWO
- Norway: RCN
- Poland: NCN
- Portugal: FCT
- 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 ?

- Research funding organizations in cOAlition S want:
 - To make sure that all scholarly publications they fund are published Open Access and immediately available to the largest possible audience worldwide.
 - Accelerate science and allow for 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 via an integrated strategy of complementary policies





Plan S: strong principles

- ⦿ Open Access = no more paywalled publications, no embargoes
- ⦿ Publication under a CC-BY license by default, no copyright transfer
- ⦿ Funders will pay for transparent and reasonable publication fees (individual researchers do not pay)
- ⦿ No payment for fees in 'hybrid' journals, unless these journals are transitioning to Open Access in a defined timeframe.
- ⦿ Multiple routes to Open Access compliance
- ⦿ A commitment to a new rewards and incentives system for researchers (e.g. DORA)





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 Rights Retention Strategy (RRS).
- ⦿ 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 (RRS)

Subscription journals

- Authors who publish in a subscription journal...
- ...MUST make the Version of Record or Author Accepted Manuscript instantly available in a repository, using the RRS
- *NO* payment for publication fees in 'hybrid' subscription journals

Transformative route

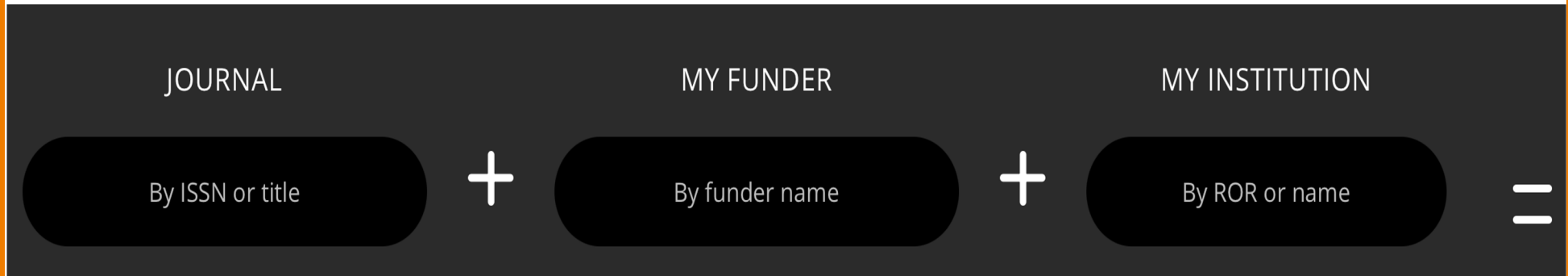
Hybrid/ subscription journals

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

Implementation

Making it easy: Journal Checker Tool

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



The screenshot shows the top section of the Journal Checker Tool interface. It features three main input categories: 'JOURNAL', 'MY FUNDER', and 'MY INSTITUTION'. Below each category is a dark rounded rectangular button with white text. The 'JOURNAL' button says 'By ISSN or title', the 'MY FUNDER' button says 'By funder name', and the 'MY INSTITUTION' button says 'By ROR or name'. These buttons are separated by white plus signs, and a white equals sign is at the far right, indicating a search or combination function.

- This combination enables a researcher to find out how their journal of choice complies with Plan S: Gold APC, TA, TJ, RRS.
- A beta version of the JCT is online since November 2020:
<https://journalcheckertool.org>

Implementation

Transformative arrangements



Plan S supports 3 types of transformative arrangements:

- ◉ **Transformative agreements (TAs)**
contracts between library consortia and publishers that convert current subscriptions costs into Open Access Publish & Read deals (e.g. OA2020, a transition country by country)
- ◉ **Transformative model agreements (TMAs)**
Libraries pay their old subscription in exchange for immediate Open Access of all journal content. See also S2O
- ◉ **Transformative journals (TJs, a cOAlition S framework)**
Journals commit to gradually increase their share of Open Access content year on year, and fully transition to OA when 75% of content is in OA.



Rights Retention Strategy (RRS)

The problem



- Many cOAlition S funded researchers still wish to publish in paywalled subscription journals that do not have OA options.
- Such researchers will be **required** via their grant agreement to deposit their Author Accepted Manuscript (AAM) in a repository, with a **CC BY licence** and **zero-embargo**.
- But** these researchers will also be asked to sign a publishing agreement that gives away their right to the AAM.
- This leads to a **contradiction** between the researchers' grant agreement and the publishing agreement.
- The RRS resolves this contradiction: the researchers' CC BY licence takes **legal precedence** over any later copyright transfer agreement.



Rights Retention Strategy (RRS)

Three steps



1. Update grant conditions

Grant conditions now specify that authors must apply a public copyright licence (CC BY) to all future Author Accepted Manuscripts (AAMs), and deposit these in a repository.

2. Inform Publishers

Publishers who collectively publish 95% of cOAlition S output have been notified of these changes, with responses incorporated in the Journal Checker Tool.

3. cOAlition S grant holders must:

- Include details of the public licence in their submissions
- Deposit a copy of the AAM in a repository on publication

Rights Retention Strategy (RRS)

Three steps



- To inform the publisher that they are using the RRS, cOAlition S funded researchers should include the following templated language 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”

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



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 Ogunlaja
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.



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, ALPSP, STM, Springer Nature and others.

SPRINGER NATURE Q 5e

What we do | Springboard blog | Opening up research

Share

A faster path to an open future

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

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

‘Diamond’ Open Access journals

- ◉ Principle 5: *"The Funders support the diversity of business models for Open Access journals and platforms."*
- ◉ ‘Diamond’ publishing rarely relies on per-unit payments.
- ◉ Tender for study on ‘Diamond’ journals and platforms:
How can Plan S funders support ‘Diamond’ publishing?
- ◉ A consortium led by OPERAS carried out the study,
now available here:
<https://zenodo.org/record/4558704#.YFC8XS1Q0Rw>
- ◉ An archipelago of small journals representing 8-9% of yearly publications, with various technical and financial challenges.
- ◉ Recommendations:
set up a funding plan in one year and create a capacity center



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



Plan S

Making full & immediate
Open Access a reality