



# Plan S: principles and implementation

GSSI - UMI Workshop on green OA,  
Transformative agreements and Plan S

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- Plan S: the basics
- cOAlition S: 24 funders
- Plan S: strong principles
- From principles to implementation
- Working with key stakeholders
- Other activities





## Plan S: the basics

- An initiative by research funders to **accelerate the transition to Open Access.**
- Funders are using their funding as a driver for change. They are aligning their publication policies and requirements both for funded researchers and for academic publishers.
- **Goal:** All publications supported in whole or in part by cOAlition Organisations must be available in Open Access by 31 December 2024.
- Publications must have an open license (**CC BY (ND)**). Authors retain copyright.
- Funders agree to cover **publication costs.**
- Policy initially applies to **peer reviewed journal articles.** Open Access books will be addressed in 2021-22.





# 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  
Horizon Europe Framework

## 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**





# Plan S : strong principles

- ⦿ Research results are a public good and should be immediately available so as to accelerate science
- ⦿ **No more paywalled publications**
- ⦿ **No embargo periods:** Open Access must be **immediate**.
- ⦿ **No copyright transfer** (a CC BY (ND) license by default)
- ⦿ **No 'hybrid' model of publication (subscription + APC)**  
(except under 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 Open Access 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, see *Principle 10*).



# From principles to implementation:

## 3 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.

### Repository route

- Hybrid/ 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

# 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.
- A Taskforce with 4 Early Career Researcher (ECR) organizations to developing indicators to measure the impact of Plan S on ECR's.

## Ambassadors



Virginia Barbour  
Australian 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  
ASAPio



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





# Working with key stakeholders: learned societies

- Wellcome and UKRI, in partnership with ALPSP, have funded a study to explore alternative business model for learned society publishers.
- Key element: a **Transformative Model Agreement** (TMA) with an implementation toolkit to help societies transition their journals to Open Access.
- The *Microbiology Society* is negotiating a TMA for its 6 journals with the help of JISC.
- <https://zenodo.org/record/3406178#.XhH0-i2ZNiN>



# Working with stakeholders: publishers

- cOAlition S launched a framework for **Transformative Journals...**
- ...in addition to well-established system of Transformative Read & Publish deals (VSNU).
- In a Transformative Journal (TJ):
  - 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 does so when 75% of content is published Open Access
- On 8 April 2020, Springer Nature adopted the TJ framework.

# Working with stakeholders: publishers

Pinned Tweet



**Springer Nature**  @SpringerNature · 2h

Springer Nature welcomes the decision from @cOAlitionS\_OA to support Transformative Journals. We are committing to transition the majority of journals, including Nature and the Nature Research journals, to become Transformative Journals.

Learn more: [bit.ly/3c21Ycw](https://bit.ly/3c21Ycw)



"We have long championed Transformative Journals as a way to speed up the transition to OA while ensuring our authors, no matter what their funding situation, can continue to publish in the journal of their choice. Plan S's support is, therefore, welcome and the changes they have made to their criteria means we are able to commit the majority of our non-OA journals, including Nature, to this path."

Steven Inchcoombe,  
Chief Publishing and Solutions Officer  
**SPRINGER NATURE**



 19

 22





## Other activities: Transparent pricing

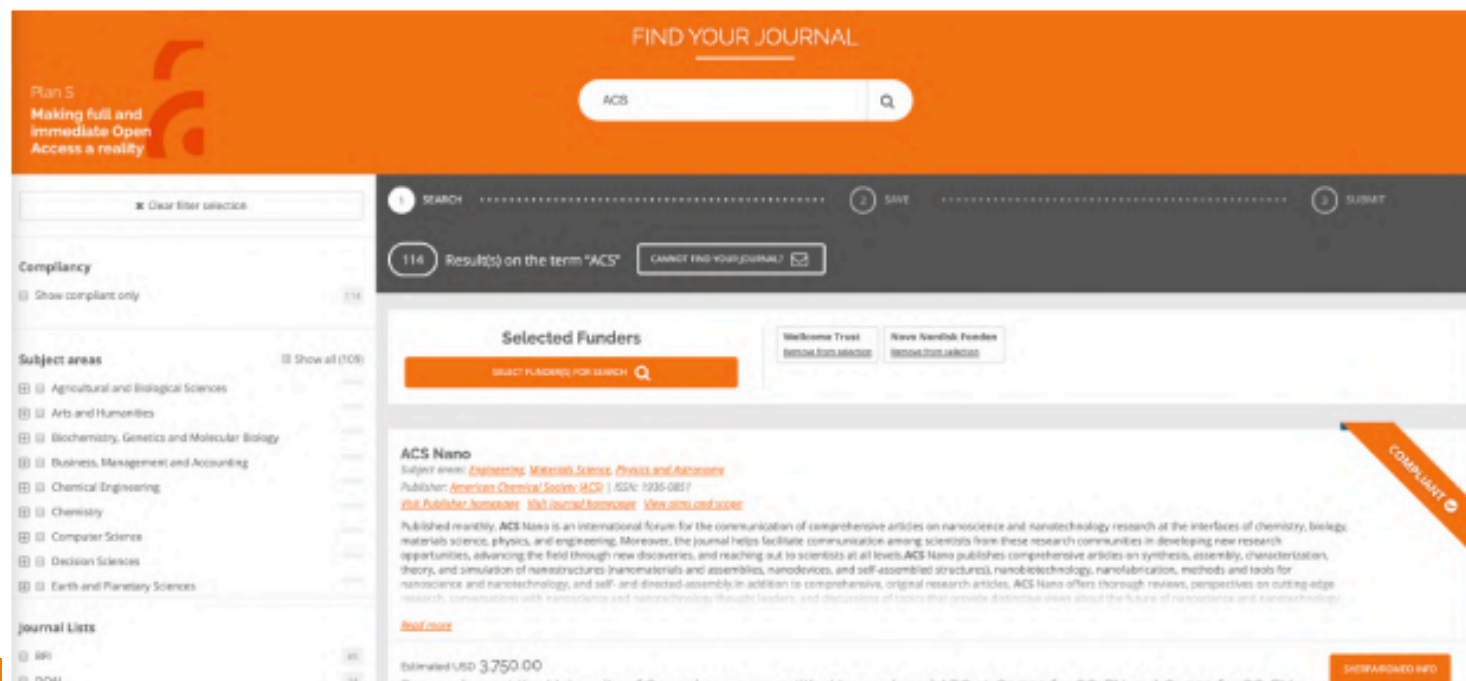
- ⦿ Plan S Guidance requires price transparency of Open Access publishing services.
- ⦿ Prices must become more transparent to build confidence amongst stakeholders that prices are fair and reasonable.
- ⦿ cOAlition S has recently announced their price transparency requirements.
- ⦿ From July 2022, only publishers adhering to the Plan S price transparency frameworks will be eligible to receive publication funds from cOAlition S members.
- ⦿ These are currently already being implemented by a number of publishers.

# Other activities:

## Making it easy: Journal Checker Tool



- ⦿ A *Journal Checker Tool* will be developed to allow researchers to identify journals that enable compliance with Plan S.
- ⦿ A supplier has been selected, launched in December 2020.





# Change is here!

THE US open access mandate seen as x +

← → ↺ 🏠 🔒 timeshighereducation.com/news/us-open-access-mandate-proje

Menu THE






## US open access man

Widely expected Plan S-style or

January 7, 2020

By [Paul Basken](#)

Twitter: [@pbasken](#)

An expected move by the Trump administration to mandate immediate open access publication of federally funded research has been hailed a major step from the subscription journal model, but the expected damage to some of the academic societies seen by some a

FIRST OPINION

## Covid-19 bioscience

By JEFFREY S. FLIER



**Springer Nature** ✓  
@SpringerNature

Springer Nature and the University of California have agreed a Memorandum of Understanding for a transformative agreement. The agreement is the largest transformative OA agreement in North America to date and the first for Springer Nature in the U.S..

[bit.ly/2Y6yHcP](https://bit.ly/2Y6yHcP)

"This agreement represents a significant milestone in the global transition to gold OA. I am delighted that we have been able to establish such an important partnership with the University of California which has been possible because of our shared commitment to opening up research. It demonstrates that gold OA is possible even when funding is complex and puts the US firmly on the path to OA."

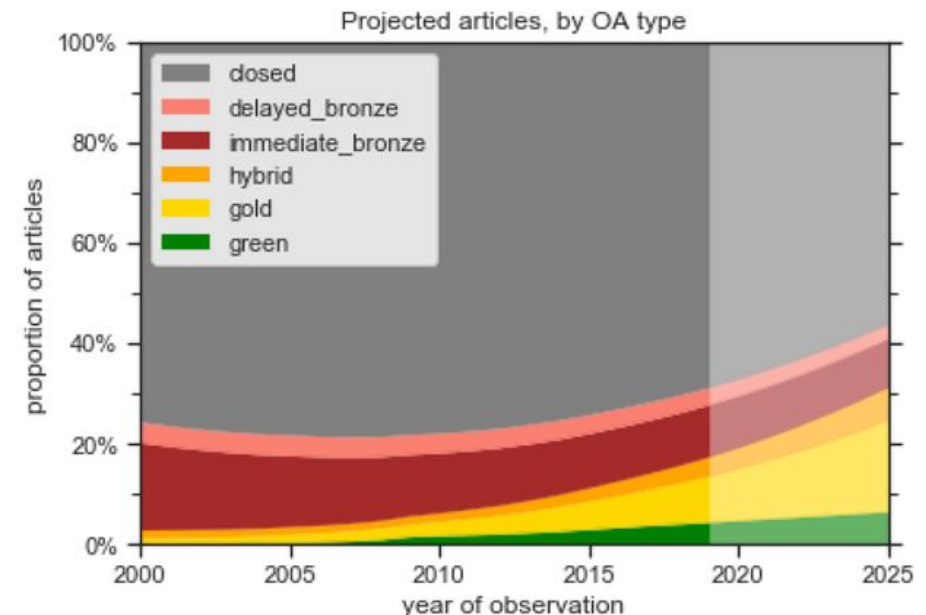
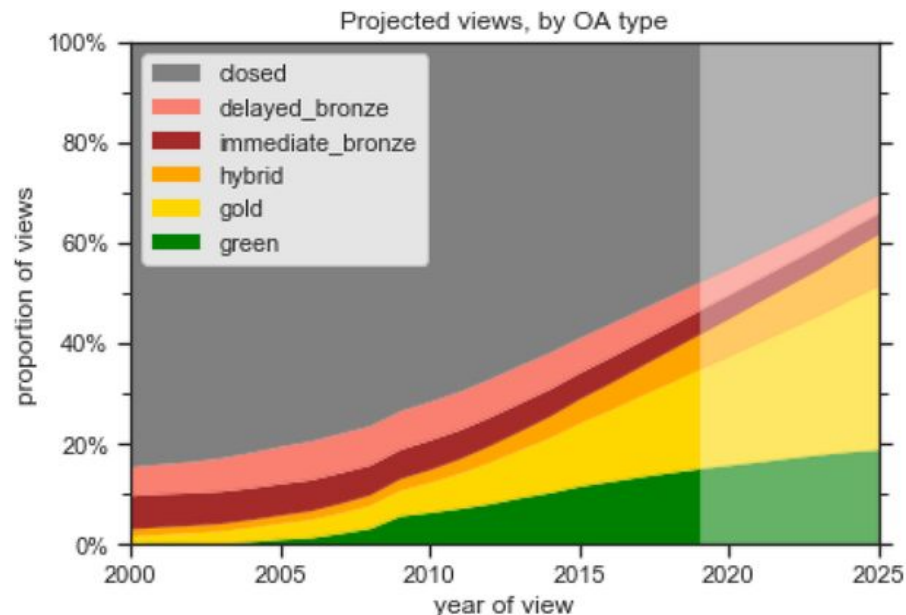
Frank Vrancken Peeters  
Chief Executive Officer  
**SPRINGER NATURE**



5:07 PM · Jun 16, 2020 · [Khoros](#)



# Change is here: 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>