Plan S: principles and implementation

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

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Summary

- 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

<table>
<thead>
<tr>
<th>Gold &amp; Diamond route</th>
<th>Repository route</th>
<th>Transformative route</th>
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<tr>
<td>Open Access journals/ platforms</td>
<td>Hybrid/ subscription journals</td>
<td>Hybrid/ subscription journals</td>
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<tr>
<td>Authors publish in Open Access journal…</td>
<td>Authors can publish in a subscription journal…</td>
<td>Authors publish in a journal with a Transformative Arrangement.</td>
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<tr>
<td>… cOAlition S funders financially support publication fees for author.</td>
<td>…<em>IF</em> they make the Version of Record or Author Accepted Manuscript instantly available in a repository</td>
<td>cOAlition S funders <em>CAN</em> financially support Open Access under Transformative Arrangements</td>
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<tr>
<td>cOAlition S funders do <em>NOT</em> financially support publication fees in ‘hybrid’ subscription journals</td>
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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.
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](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
Working with stakeholders: publishers

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

"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
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!

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

"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

5:07 PM · Jun 16, 2020 · Khoros
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