

The background features a collection of white line-art icons on a light gray background. These icons include a server rack, 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 plus sign, a cloud, a multiplication sign, a magnifying glass, a document with a checkmark, a hand holding a pen, and a hand holding a tablet. The icons are scattered across the slide, with some appearing larger than others.

# Plan S: from principles to implementation

*The future of research:  
assessing the impact of Plan S*

Leuven, 5-6 November 2019

Johan Rooryck | OA Champion, cOAlition S





# cOAlition S

## 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 ?

## Accelerating science

- Science functions best when research results are made available as quickly as possible.
- Open and immediate access allows the largest possible set of researchers to scrutinize, test, and build on these results, accelerating science.
- Publication paywalls and embargo periods are an obstacle to this goal and completely outdated.
- The subscription-based model of academic publishing must transition to Open Access.





# Why Plan S ?

## A transparent and cost-effective transition

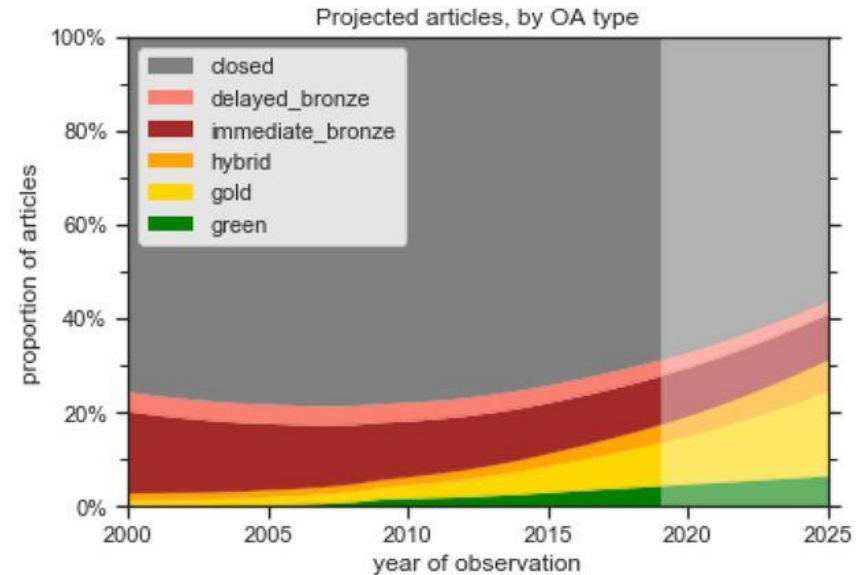
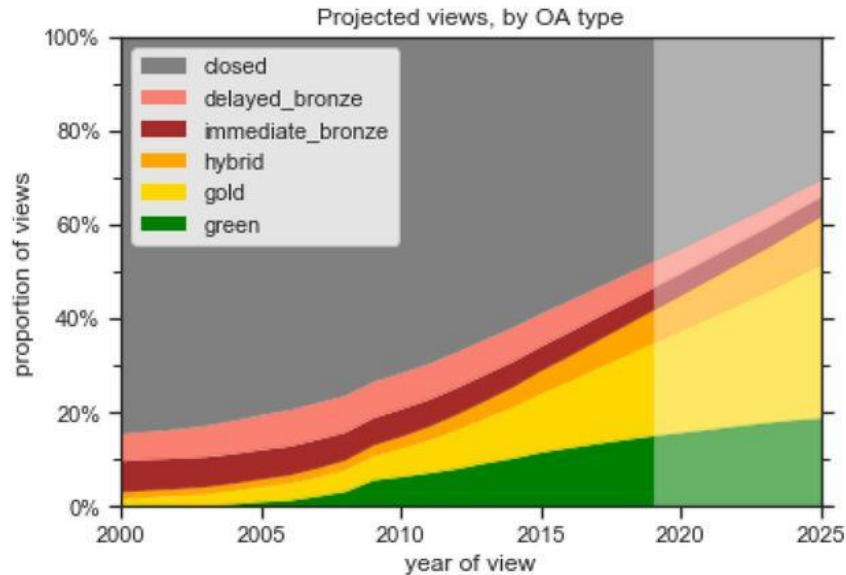
- ⦿ Research funding agencies in cOAlition S want:
  - ⦿ more return on their investment in research;
  - ⦿ greater transparency in research communication;
  - ⦿ a cost-effective transition from the subscription model to the Open Access model.





# Why Plan S ?

## Visibility of research



### 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 : Built on 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*)





## Plan S : Built on 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 OA.
  - ⦿ 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: key changes – Routes to compliance



	Open Access publishing venues (journals or platforms)	Subscription venues (repository route)	Transition of Subscription venues (transformative arrangements)
<b>Route</b>	Authors publish in an Open Access journal or on an Open Access platform.	Authors publish in a subscription journal and make either the final published version (Version of Record (VoR)) or the Author's Accepted Manuscript (AAM) openly available in a repository.	Authors publish Open Access in a subscription journal under a transformative arrangement.
<b>Funding</b>	cOAlition S funders will financially support publication fees.	cOAlition S funders will not financially support "hybrid" Open Access publication fees in subscription venues.	cOAlition S funders can contribute financially to Open Access publishing under transformative arrangements.



# Implementation guidance: key changes

- ⦿ Funders commit to **implement DORA principles** when undertaking research assessment
- ⦿ Greater emphasis on the **transparency of OA publication fees**
- ⦿ Option to request a **CC-BY-ND licence** as a (properly justified) exception
- ⦿ **Technical requirements** for journals, platforms and repositories **revised and simplified**



# 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.**



# Implementation guidance: Transformative arrangements (1): ESAC



- ⦿ cOAlition S encourages publishers, institutions, and library consortia to enter into TAs that adhere to Plan S principles.
- ⦿ Temporary and transitional [Plan S – end 2024]
- ⦿ Authors retain copyright [Plan S – non-negotiable]
- ⦿ Agreements must be transparent.
- ⦿ Aim to constrain costs of scholarly communication and foster equity in scholarly publishing.





# Implementation guidance: Transformative arrangements (2):

## 2. *Transformative model agreements*

- ⦿ Many journals and publishers, especially smaller society presses, are not currently engaged in transformative agreements...
- ⦿ *Report and Toolkit to Support Learned Society Publishers Transition to Immediate Open Access*

<https://www.coalition-s.org/spa-ops-project/>



# Implementation guidance: Transformative arrangements (3):



## 3. *Transformative journals*

A framework for journal transitions where:

- ◉ the share of Open Access content is gradually increased;
- ◉ subscription costs decrease as income from Open Access fees for publishing services increases (avoiding double payments);
- ◉ the journal commits to transition to full Open Access in an agreed timeframe.



# Implementation challenges



## 1. Cost of investment in any transition:

- ⦿ Capacity of library, consortia, and publishers to negotiate
- ⦿ Addressing any gaps in publishing options for authors
- ⦿ Supporting information tools and services

## 2. Alignment of funder and institutional policies.





# Implementation challenges



3. The cost of scholarly communication is transferred to research-intensive organizations and countries (national and global re-distributions)
4. Supporting researchers and publishing platforms with different models, geographies, disciplines, as well as innovative models (SciPost, PubFair...)
5. Coordination: international cooperation between consortia, funders, institutions, disciplines...



# Working with key stakeholders: researchers



- Working with researcher groups to ensure we understand their concerns and find ways of mitigating them
- Seeking to work with Global Young Academy (and others) on developing indicators to measure impact of Plan S on early career researchers (ECR). A Task Force has been established to progress this.
- 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  
ASAPio



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

# 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** 🔍 5e

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## A faster path to an open future

**SN** Springer Nature Group  
By: Steven Inchcombe, 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 Inchcombe**  
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.

# 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 coalition of research funders, Coalition S, has agreed the Author Accepted Manuscript (AAM) or Version of

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#### 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.

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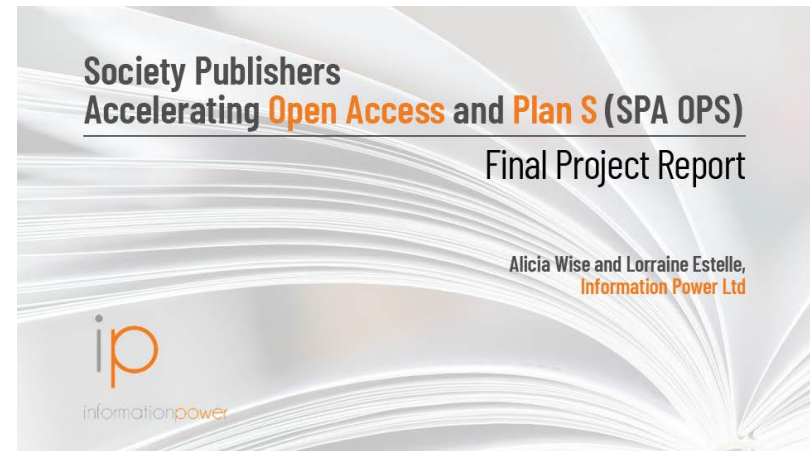
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For information on use of Institutional Repository (IR) copies by authors and IR users, see [Posting to an Institutional Repository - Green Open Access](#).



# Working with key stakeholders: learned societies

- Wellcome and UKRI, in partnership with ALPSP, have funded a study to explore alternative business models for learned society publishers
- A report containing 27 business models and strategy and a model transformative agreement with an implementation toolkit
- Societies can use this Agreement to offer Transformative Arrangements as early as 2020



Report, model Agreement and implementation toolkit published on 12<sup>th</sup> September

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

# Working with key stakeholders: libraries and library consortia



- ◉ Libraries will play a key role in converting subscription funds to Open Access payments.
- ◉ Transformative agreements are designed to help libraries and library consortia to complete the transition to Open Access.
- ◉ 90% of libraries willing to engage with scholarly societies and society publishers
- ◉ Libraries can also assist scholarly societies and journals in managing (new) journals/ platforms.

# 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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RU**

# Working with key stakeholders: other Open Access initiatives



## São Paulo Statement on Open Access

01/05/2019

The representatives of [African Open Science Platform](#), [AmeLICA](#), cOAlition S, [OA2020](#), and [SciELO](#) – five of the major worldwide Open Access initiatives – met on 1 May 2019 during the annual meeting of the Global Research Council in São Paulo, Brazil. They are united in their common mission of making knowledge available and accessible wherever it can have the greatest impact and help solve humanity's challenges regardless of where it was produced.

The combined effect of the five initiatives has generated a new momentum in the push towards universal, full, and immediate Open Access.

### The Five Initiatives Jointly State That:

- > They consider that scholarly and scientific knowledge is a global public good. When generated by public funds, free access to it is a universal right.
- > They share one common ultimate objective: providing universal, unrestricted, and immediate Open Access to scholarly information, including use and re-use by humans and machines.
- > They share the belief that this common goal can be achieved through a variety of approaches.
- > They will pursue points of alignment among their approaches and ways to co-operate towards reaching their common goal.
- > They seek an active dialogue with all stakeholders, including researchers, research funders, universities, societies, governments, and citizens to take into account the diversity of the global scholarly community.

Let's make Open Access a reality!

## OA2020 and cOAlition S Launch Joint Statement

09/05/2019

### Joint Statement of OA2020 and cOAlition S: Research Performing and Research Funding Organizations Working Together to Accelerate the Transition to Open Access

Over the past 20 years, many thoughtful strategies have been devised to promote open access to scholarly research publications, including the development of repositories and new publishing venues. Yet, the vast majority of scholarly articles continue to be locked behind subscription paywalls of traditional scholarly journals.

Taking decisive steps toward the realisation of full and immediate open access, a global consortium of research funders ([cOAlition S](#)) have established the [Plan S principles](#) to ensure full and immediate access to all scholarly articles, whether published in subscription journals, open access journals or other platforms. In explaining [why Plan S](#), Marc Schiltz, President of Science Europe and Chair of cOAlition S states "In the 21st century, science publishers should provide a service to help researchers disseminate their results. They may be paid fair value for the services they are providing, but no scholarly outputs should be locked behind paywalls!"

In the same spirit, a global network of research performing organisations, united in the [Open Access 2020 Initiative](#) (OA2020), has voiced the ambition and developed practical approaches for a [large-scale implementation of open access to scholarly journals](#), complementary to their efforts in support of alternative open access publishing platforms and infrastructure. "Fact-based analysis<sup>[1]</sup> shows that there is more than enough money in the subscription system worldwide to make a complete transition to open access" says Gerard Meijer, Director of the Fritz Haber Institute (FHI) of the Max Planck Society. "Where publishers have not yet embraced open access on their own, we must leverage our subscription expenditures to drive the transition."

With their common strategy aimed at removing paywalls from published research articles, cOAlition S and OA2020 work in synergy on both sides of the scholarly publishing chain to **achieve open access in scholarly journals and alternative publishing venues**.

**Plan S is acting as a spur to encourage a transition to OA – as witnessed by the upsurge in transformative agreements**



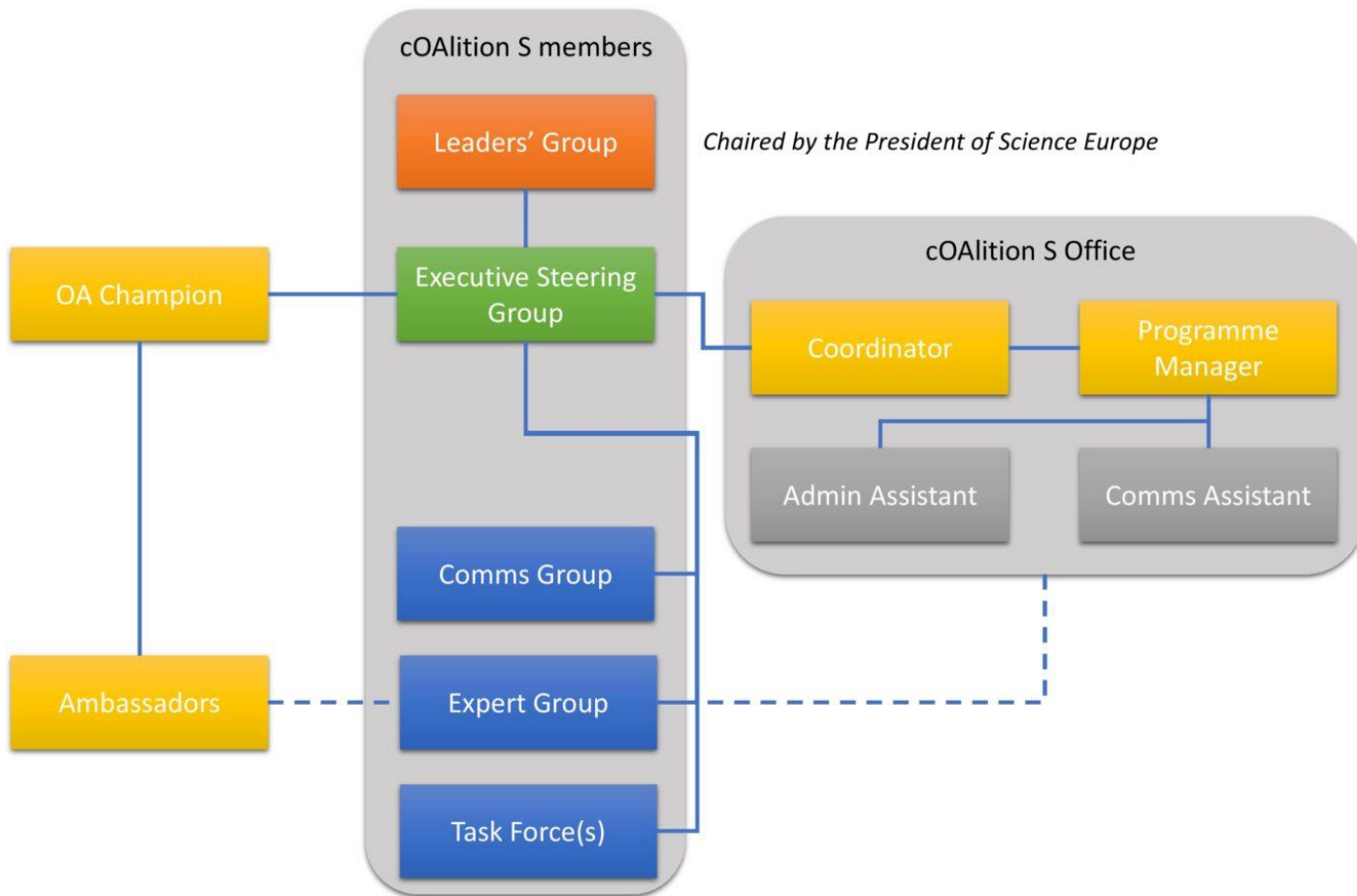


## Other activities – Transparent pricing

- ⦿ 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.*”
- ⦿ Wellcome - with UKRI and on behalf of cOAlition S - have appointed Information Power to lead a collaborative project to develop a framework for these communications
- ⦿ 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
- ⦿ This project will **not** explore costs, nor current or future pricing



# Other activities – cOAlition S governance





## Other activities – cOAlition S Office

- A formal cOAlition S Office has been established with ESF to appoint staff, award contracts etc.
- The Office will take forward the work associated with the implementation of Plan S
- Budget defined – to be funded by cOAlition S members who are able to make a financial contribution
  - No obligation for cOAlition S funders to make a financial contribution
- The Office will be up and running by January 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

