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
Summary

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

### Coordinated action:
- 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- Publication paywalls and embargo periods are an obstacle to this goal and completely outdated.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.
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

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

<table>
<thead>
<tr>
<th>Route</th>
<th>Open Access publishing venues (journals or platforms)</th>
<th>Subscription venues (repository route)</th>
<th>Transition of Subscription venues (transformative arrangements)</th>
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<tbody>
<tr>
<td>Authors publish in an Open Access journal or on an Open Access platform.</td>
<td>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.</td>
<td>Authors publish Open Access in a subscription journal under a transformative arrangement.</td>
<td></td>
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</tbody>
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| Funding | 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**.
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.
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.
Working with key stakeholders: publishers

...other journals and publishers support “Green Open Access” (at least as an interim model)
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 12th 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

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