

Plan S:

compliant routes, context and next steps

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<https://tinyurl.com/tartuplans>

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[Open Access - Plans and Choices](#)
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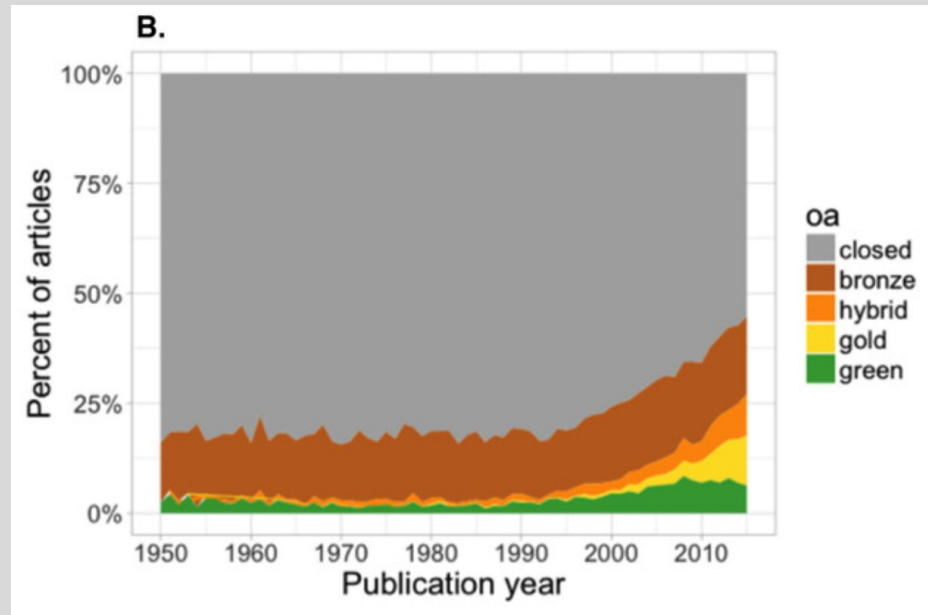


Why Plan S?

Full open access is a crucial part of open science:

- Speed up availability of results
- Equal access to knowledge
- Transparency of research
- Verifying results (with data/code)
- Efficient (re)use of research

But transformation to 100% OA goes too slow:



cOAlition S: who is part of it?

National funders



Charitable and international funders



European funders



Plan S: main principle

“With effect from 2021, all scholarly publications on the results from research funded by public or private grants provided by national, regional and international research councils and funding bodies, must be published in Open Access Journals, on Open Access Platforms, or made immediately available through Open Access Repositories without embargo.”

Plan S: two documents



Why: a [letter and preamble](#) with the why and general goals and context, including the commitment to change the evaluation system

Part I: The Plan S Principles

"With effect from 2021, all scholarly publications on the results from research funded by public or private grants provided by national, regional and international research councils and funding bodies, must be published in Open Access journals, on Open Access Platforms, or made immediately available through Open Access Repositories without embargo."

In addition:

- 01** Authors or their institutions retain copyright to their publications. All publications must be published under an open license, preferably the Creative Commons Attribution license (CC BY), in order to fulfil the requirements defined by the [Data Declaration](#).
- 02** The Funders will develop robust criteria and requirements for the services that high-quality Open Access journals, Open Access platforms, and Open Access repositories must provide.
- 03** In cases where high-quality Open Access journals or platforms do not yet exist, the Funders will, in a coordinated way, provide incentives to establish and support them when appropriate; support will also be provided for Open Access infrastructures where necessary.
- 04** Where applicable, Open Access publication fees are covered by the Funders or research institutions, not by individual researchers; it is acknowledged that all researchers should be able to publish their work Open Access.
- 05** The Funders support the diversity of business models for Open Access journals and platforms. When Open Access publication fees are applied, they must be commensurate with the publication services delivered and the structure of such fees must be transparent to inform the market and funders potential standardisation and capping of payments of fees.
- 06** The Funders encourage governments, universities, research organisations, libraries, academics, and learned societies to align their strategies, policies, and practices, notably to ensure transparency.
- 07** The above principles shall apply to all types of scholarly publications, but it is understood that the timeline to achieve Open Access for monographs and book chapters will be longer and requires a separate and due process.
- 08** The Funders do not support the hybrid model of publishing. However, as a transitional pathway towards full Open Access within a clearly defined timeframe, and only as part of transformative arrangements, Funders may contribute to financially supporting such arrangements.
- 09** The Funders will monitor compliance and sanction non-compliant beneficiaries/grantees.
- 10** The Funders commit that when assessing research outputs during funding decisions they will value the intrinsic merit of the work and not consider the publication channel, its impact factor (or other journal metrics), or the publisher.

What & How: a [document](#) (updated May 2019) with 10 Principles and the Guidance on the Implementation of Plan S

Plan S main characteristics

- A plan by research funding organizations ...
- ... to speed up the transition to 100% open access
- 22 organizations: 17 national, 5 charitable; supported by EU and ERC
- Main goal: all articles immediately OA, with open license and copyright retention
- Means: require **publication in venues/journals that are fully OA or immediate self-archiving in repositories**
- Exceptions:
 - policy not yet applicable to chapters and books
 - hybrid in transformative arrangements will be allowed
- Funders will adapt evaluation criteria in spirit of DORA declaration, moving away from journal-based metrics

Overview of types of open access

type	preprint	gold (incl. diamond)	hybrid-gold	green
who?	author	publisher	publisher	author
where?	preprint archives	~10K open access journals	many subscription journals	institutional / subject repository
when?	before/around submission to jrnal.	simultaneous with publication	simultaneous with publication	upon acceptance, but often embargo
costs?	free	0-4000 USD	~1000-6000 USD	free
fulfill funder req.?	mostly not	always, but (possibly) affected now	always, but discussed now	often, but often not if embargoed
funding	n.a.	sometimes funder or institutional OA fund	sometimes funder / included in big deals	n.a.
license/copyright	choose CC-license, copyright retained	choose CC-license, often keep copyright	often CC in exclusive license for publisher	often none?

Plan S compliance of publications: the 3 routes

	Open Access publishing venues (journals or platforms)	Subscription venues (repository route)	Transition of subscription venues (transformative arrangements)
Route	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.
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.
	= full gold (incl. diamond)	= green (self archiving)	= hybrid

Requirements for all routes:

- immediate OA (upon publication)
- CC-BY(SA) license (funders can allow ND for individual articles)
- full copyright retention by author or institution

Working towards Plan S compliance: many options

full gold (incl. diamond)

existing/new APC gold journal / platform

existing/new non-APC gold journal / platform (diamond)

flipping journals to APC gold (by publishers/editors)

flipping journals to non-APC gold (diamond) (by publishers/editors)

hybrid

hybrid journal in transformative (model) agreement or transformative journal

OA in hybrid journal & self-archiving the published paper

green (self archiving)

archiving publisher version, upon publication

archiving accepted manuscript (AAM) upon publication

sharing preprints and using overlay PR ?

Working towards Plan S compliance: many options (examples)

full gold (incl. diamond)

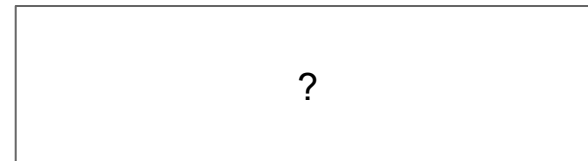


hybrid



many hybrid journals

green (self archiving)



* OpenEdition is not a flip from hybrid but from closed journals with a moving wall

Nine routes towards Plan-S compliance (based on the [20190531 guidance document](#))

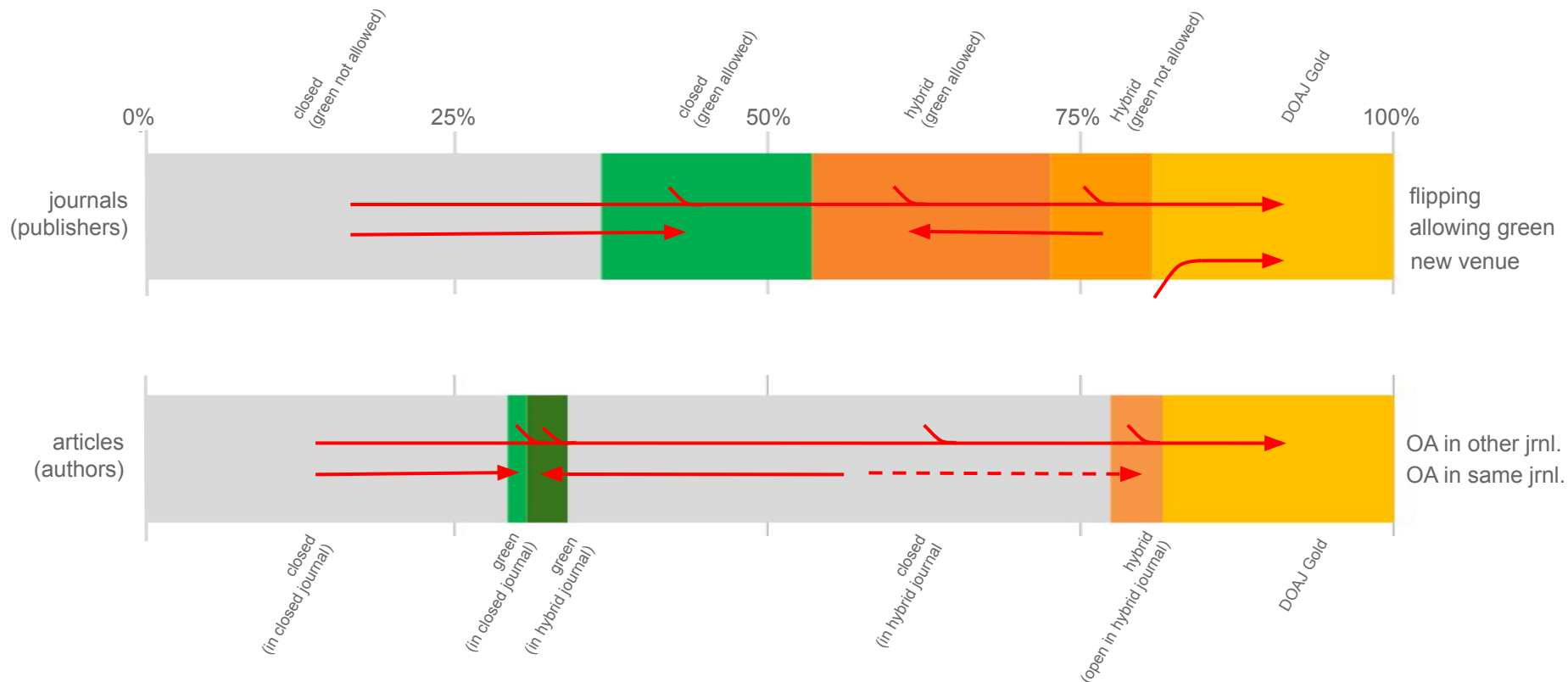
routes to Plan S compliance	A. existing/new APC gold journal / platform	B. existing/new non-APC gold journal / platform (diamond)	C. flipping journals to APC gold (by publishers or editors)	D. flipping journals to non-APC gold (diamond), by publishers or eds.	E. hybrid journal in transformative (model) agreement / transformative jrn.	F. CC-BY(-SA) ¹ OA in hybrid journal & self archiving the published paper	G. archiving publisher version, on publication, CC-BY(-SA) ¹	H. archiving AAM, on publication, CC-BY (-SA) ¹	I. sharing preprints and using overlay PR
1. compliant?	yes	yes	yes	yes	yes	yes	yes	yes	unsure
2. example(s)	PLoS, 1000s more	Open Library of Humanities, 1000s more	Epidemiology & Infection, 100s more	Scoop ³	agreements listed at esac-initiative.org	all hybrid journals allowing CC-BY(-SA) ¹	(MNRAS, APS journals) ¹	Royal Society, (Emerald / Sage journals ²)	Discrete Analysis /
3. current use / availability	sizeable amount	limited	very limited	very limited	(agreements:) yes, in some countries	sizeable amount	limited	limited	very limited
4. effect on publishers	gold publ. win, evt. decreasing subscriptions	more competition / perhaps evt. decreasing subscriptions	change in business model / probl. for high rejection	new partnerships or loose journals to funders/institutions	need to negotiate transformative arrangement (not for transformative jrnls)	journals keep role if CC-BY(-SA) ¹ is allowed	evt. decreasing subscriptions, need to solve sustainability?	keep large part of perceived value	change publishing model or loose out
5 effect on researchers	away from trad. venues and IF-thinking	away from trad. venues and IF-thinking	depends on (funding for) APC	none	limited effect	almost no restriction on journal choice, but need to pay APC	small effort	small effort, accept limitations	adapt to new idea
6. effect on libraries	away from hybrid deals & IF-thinking	away from hybrid deals & IF-thinking, pot. role in funding	limited	potential role in funding	(help) negotiate transformative deals	current type read & publish deals remain relevant	role insofar as hosted in IR / cancel subs evt.	continued role, esp. hosting in inst. repo	chance to play role in curation
7. effect on funders	supporting (own) platforms / lower APC levels	supporting (own) platforms / lower APC levels?	depends on APC levels	lower average APC levels? / pot. role in funding	depends on size of contribution to arrangement <2025	no financial burden / no reduction of role hybrid	no financial gain	no financial gain	adapt to new idea, change assessment
8. effect on societies	big, because of subscription dependance	big, because of subscription dependance	change in business model / probl. for high rejection	change in business model / probl. for high rejection	need to change business model	journals keep role if CC-BY (-SA) ¹ is allowed	evt. decreasing subscriptions?	evt. decreasing subscriptions?	limited role, perhaps in quality assurance?
9. effect on editors of trad. jrnls.	fewer submissions, lower status	fewer submissions, lower status	none (or big role in leading flip)	none (or big role in leading flip)	none (or big role in leading flip)	none	none	none	new role in overlay journals?
10. overall pub cost	depends on market	depends on market / funding sources	depends on market	depends on market / funding sources	remains high at least until deal has effect	remains high	remains high	remains high	substantially lower?
11. fits changes in assessment	+	+	-	-	-	-	-	-	++

¹ cOAlition S members may approve the use of the CC BY-ND license for individual articles

² these examples allow immediate sharing but not with CC-BY (-SA) and copyright retention yet



Ways to increase Plan S compliance

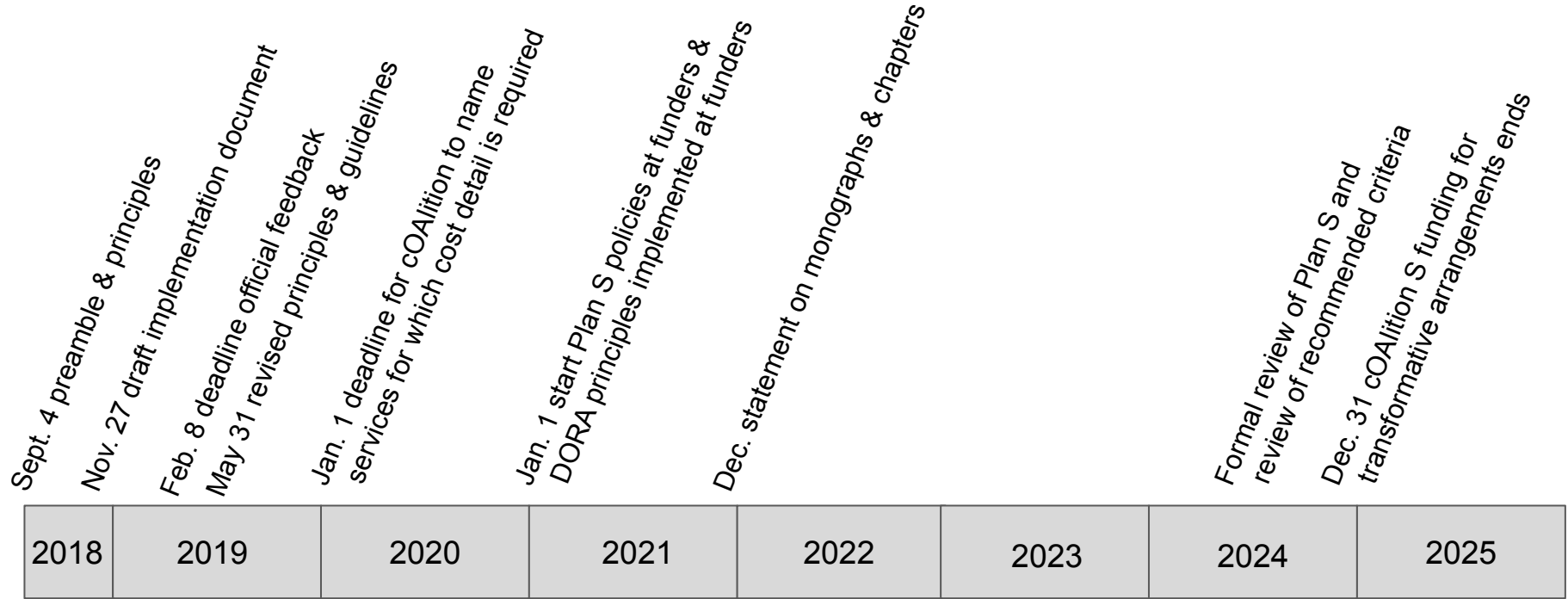


see also: <https://101innovations.wordpress.com/2018/12/05/oa-potential-journals-and-publications-across-disciplines/>

Current situation

1. Almost all routes to Plan S compliance are already used
2. Available open access options have unused potential
3. Researchers, publishers, institutions & libraries can act

Timeline Plan S [updated]



It is up to individual funders to start the policy with either new calls, new grants or also ongoing grants

Implications for researchers: what happens next?

- Will more funders join cOAlition S?
- Will publishers adapt? (If not: limited publication venues)
 - Will publishers allow full copyright retention and CC0 / CC-BY / CC-BY-SA ?
 - Will publishers allow immediate green self archiving? (At what cost?)
 - OR: will publishers switch to full and compliant Open Access journals?
- Will new venues be created and adopted by researchers?
- Will institutions succeed in negotiating transformative agreements?
- Will institutions also implement the principles of Plan S?
- Will funders, institutions move forward with adapting evaluation criteria?

Reception of Plan S

- Since its launch 8 funding organizations joined cOAlition S
 - National funders: e.g. Forte, Formas and funder from Zambia and Jordan
 - Charitable funders: e.g. Gates Foundation, Wellcome
- Support inside and outside Europe
 - Support from ERC and EU
 - Support from LERU, EUA, YERUN, VSNU, COAR
 - China expressed support, India and Argentina consider joining
 - Support from full OA publishers and their associations
- Criticism
 - Germany, Switzerland, Spain, Belgium have not joined yet, for varying reasons
 - Very critical reception from many learned societies
 - Criticism from Latin-American OA publishing organizations (Amelica)
 - Critical reception from legacy publishers and their associations
- Mixed reception from researchers

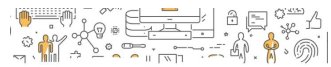
Frequently mentioned issues in comments/feedback

- Implementation period too short
- Limiting choice of journals and licences, or even limiting academic freedom
- Expected problems in collaboration with non-cOAlition S funded researchers
- Being able to publish in certain journals is crucial for young researchers' careers
- Draining income of learned societies
- Humanities scholars point at potential downsides of CC-BY license
- Too much dependence on APC model:
 - barrier for underfunded researchers
 - incentive to publish looking at quantity and less at quality

Adaptations of initial Plan S based on feedback

- Implementation date postponed until January **2021**
- Funders can allow **CC-BY-ND** licenses on a case by case basis
- Next to transformative agreements now also 2 other **transformative arrangements**
- Publishing in journals in transformative agreements **also compliant after 2024**
- Required **transparency on costs and prices** of publishing services
- Some **technical criteria** now a ‘**recommendation**’ instead of requirement
- **Assessment on intrinsic merit** instead of publication channel now a full principle

See also the “[Rationale for the Revisions Made to the Plan S Principles and Implementation Guidance](#)”



< Go back

Rationale for the Revisions Made
to the Plan S Principles and
Implementation Guidance

30/05/2019

Plan S 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
ASAPbio



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

- group of independent experts active in the research community
- act as local points of contact for discussions and advice about Plan S and its implementation
- listen to the concerns of the research community and relay these back to cOAlition S

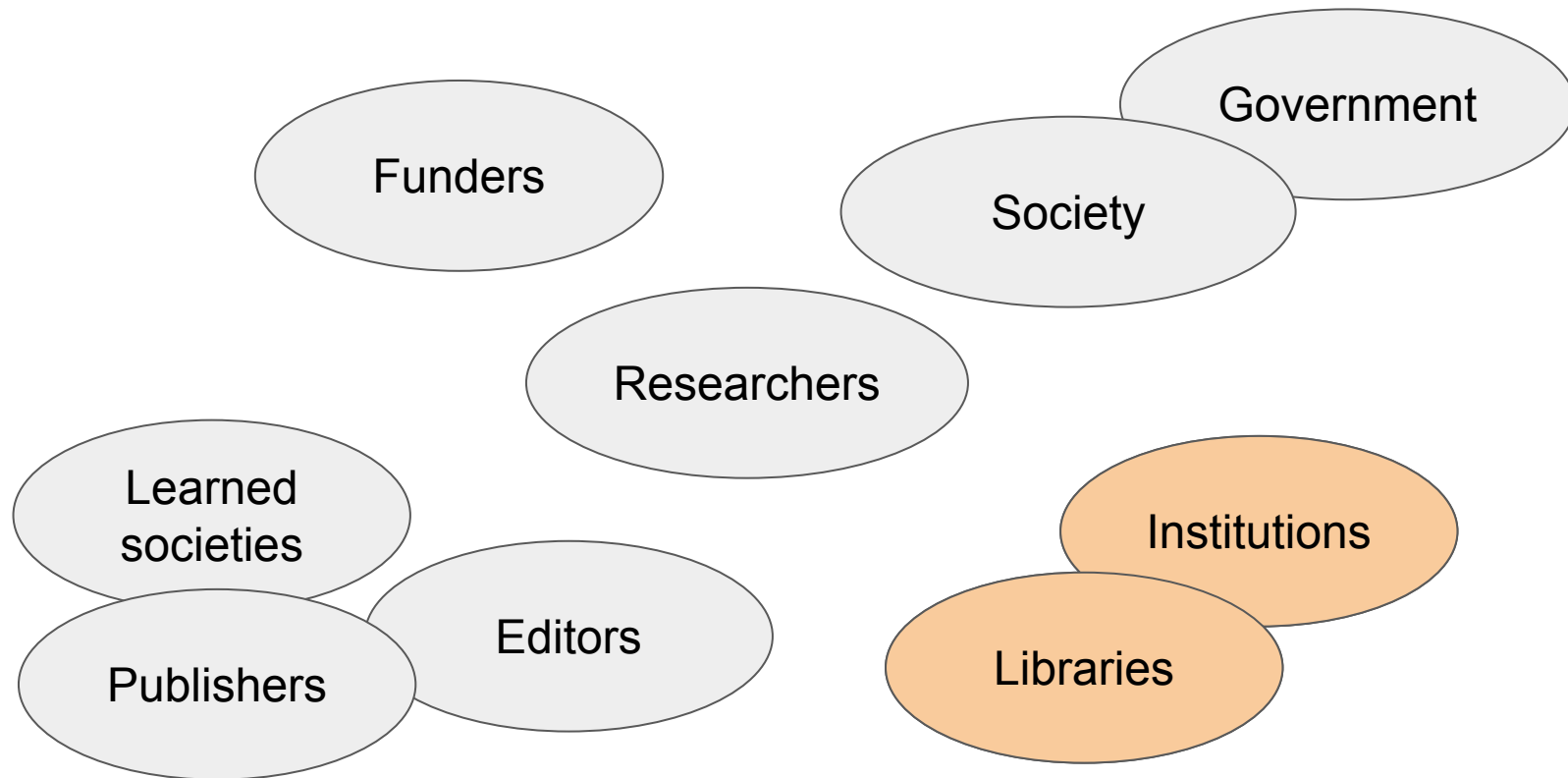
Next steps by or commissioned by cOAlition S

- ESAC [transformative agreement registry](#)
- Implications and opportunities for societies ([report & toolkit](#))
- Dialogue with [Amelica](#) and [OA2020](#) (ongoing)
- Gap analysis (to be published)
- Steps towards easy compliance checking (in the making)
- [Framework](#) for price transparency (in the making, based on [survey](#))

Wider policy context

- Amelica and OA2020
- Big deals, big deal cancellations and read & publish deals
- Preprints
- (Harvard) license to publish model

Plan S implementation: stakeholders



Next steps for institutions and their libraries?

1. (re)considering institutional OS policies
(OA mandates, evaluation criteria)
2. negotiating transformative agreements and agreements with full OA publishers
3. investing in common infrastructure
(e.g. disciplinary repositories, OA publishing platforms)
4. developing institutional OA publication platforms
5. making institutional repositories Plan S compliant
6. informing and supporting researchers

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