Plan S: The road ahead

OASPA 2019
Johan Rooryck – OA Champion, cOAlition S
Summary

- Plan S: strong principles
- Implementation Guidance: key changes
- cOAlition S: alignment and governance
- Working with key stakeholders
- Other activities
- Questions and discussion
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
- OA must be immediate: no embargo periods
- Publication under a **CC BY license** by default, no copyright transfer (*Principle 1*)
- Transparency about pricing and contracts
Plan S: Built on strong principles

- 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*)
- Commitment to assess research outputs based on their *intrinsic merit* and NOT their venue of publication, following DORA (*Principle 10*).
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 (1) – 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>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<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>
</tr>
<tr>
<td>Funding</td>
<td>cOAlition S funders will financially support publication fees.</td>
<td>cOAlition S funders will not financially support &quot;hybrid&quot; Open Access publication fees in subscription venues.</td>
<td>cOAlition S funders can contribute financially to Open Access publishing under transformative arrangements.</td>
</tr>
</tbody>
</table>
A range of transformative arrangements are supported:

- **Transformative agreements**: a transition from subscription to Open Access publishing between university libraries and publishers.
- **Transformative model agreements**: agreements for transition that avoid double payment
- **Transformative journals**: offsetting subscription costs by a gradual increase in OA fees
Implementation guidance: key changes (2)

- 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.
cOAlition S: alignment of Open Access policies

National funders

Charitable and international funders

European funders

coordinated by
cOAlition S – Governance

Chaired by the President of Science Europe
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.
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)

Plan S: the final cut

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.

Green Open Access: SAGE’s Archiving and Sharing Policy

You may share the Original Submission or Accepted Manuscript at any time and in any format. Your sharing of the Original Submission or Accepted Manuscript may include posting a downloadable copy on any website, saving a copy in any repository or network, sharing a copy through any social media channel, and distributing print or electronic copies.

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 12th September: [https://wellcome.figshare.com/](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 journals
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.
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.
Establishing a formal cOAlition S Office to appoint staff, award contracts etc., to 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

Office expected to be up and running by January 2020
Other activities

Priority actions for cOAlition S – from June 2019

We acknowledge that there is a wide range of work to be done to implement Plan S, some of which is noted at various points in the revised implementation guidance. We have identified the following priorities for the next few months:

01 Appoint an Open Access Champion who will promote Plan S to research funders and other stakeholders.

02 Establish the cOAlition S Secretariat and develop a budget to take work forward.

03 Convene meetings of the existing members of cOAlition S, to share insights and address challenges in implementing Plan S.

04 Work together to articulate a vision for the long term future of Open Access.

05 Set up a task force to develop a framework to monitor the effects of Plan S on the research and scholarly communication ecosystems.

06 Set up a task force to identify where it is difficult to comply with Plan S, consider how to address these issues, and provide reliable information to researchers on how they can align with Plan S.

07 Work with publishers, societies, consortia, and others to develop clearer approaches to transformative arrangements towards full and immediate Open Access.

08 Work with publisher representatives and other stakeholders to define the various services (e.g., triaging, peer review, editorial work, copy editing) publishers will be asked to price.

09 Begin discussions to explore the best ways to implement rights retention for authors and institutions, recognising national, disciplinary, and other differences.

https://www.coalition-s.org/workplan/
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