



# Plan S

Making full & immediate  
Open Access a reality

## **Plan S and the transition to Open Access beyond 2024**

Beyond the transformation

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# cOAlition S

## 27 organizations worldwide

### National funders

- Austria: FWF
- Finland: AKA
- France: ANR
- Ireland: SFI
- Italy: INFN
- Luxembourg: FNR
- Netherlands: NWO
- Norway: RCN
- Poland: NCN
- Portugal: FCT
- Quebec: QRF
- Slovenia: ARRS
- Sweden: FORMAS, FORTE, VINNOVA
- Switzerland: SNSF
- UK: UKRI

### European Commission (Horizon Europe)

### Charitable foundations

- The Wellcome Trust
- The Bill & Melinda Gates Foundation
- Howard Hughes Medical Institute (HHMI)
- Aligning Science Across Parkinson's (ASAP)
- Templeton World Charity Foundation (TWCF)

### Global dimension

- World Health Organisation + TDR
- Jordan: HCST
- Zambia : NSTC
- South Africa : SAMRC

€35bn/year in research funds, 150k articles/ year



## Plan S: a single goal with 10 principles

- 🎯 Plan S: *“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.”*
  - 🎯 All peer-reviewed papers must be immediate Open Access with a CC-BY license
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## Plan S: three routes to compliance

- 🎯 **Route 1:** Publication in full Open Access journals is financially supported by cOAlition S funders.
  - 🎯 **Route 2:** Publication in subscription journals is compliant **if** a copy of (at least) the Author Accepted Manuscript is deposited in a repository at publication.
  - 🎯 **Route 3:** Publication in journals that are under a Transformative Arrangement is compliant.
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# Journal Checker Tool (JCT)

- To help researchers navigate the complexity of Open Access routes, cOAlition S has developed the *Journal Checker Tool* (JCT)
- The JCT allows researchers to identify how journals can meet their Open Access obligations. <https://journalcheckertool.org>

Is this compliant with Plan S?

JOURNAL + MY FUNDER + MY INSTITUTION =

Cell (Elsevier), ISSN: 0 + Wellcome + University North (

No affiliation

**Yes**, this combination is compliant.

# Route 2 and Rights Retention

## ⦿ Rights Retention Strategy (RRS):

Authors must retain their intellectual property rights.

- ⦿ cOAlition S grantees are required via their grant conditions to inform publishers that a prior public (CC BY) licence is applied to any future AAM arising from their submissions.

- ⦿ Authors add a statement to their submission:

*“This research was funded, in whole or in part, by [Organisation Name, Grant #]. A CC BY licence is applied to the AAM arising from this submission, in accordance with the grant’s open access conditions.”*

- ⦿ Authors must deposit a copy of the CC BY licensed AAM in an Open Access repository at publication.
- ⦿ Since the CC BY licence to the future AAM is in place **prior** to the publisher’s agreement, that CC BY licence takes **legal precedence** over conflicting language in that later publication agreement.

# Route 3: Transformative Agreements

- Many cOAlition S funders support Transformative Agreements, contributing to a massive increase in OA articles



Source: [ESAC Transformative Agreement Registry](#) • Click on a country or year to filter.  
Last updated: 18-06-2021

# Timeline

- ⦿ Current Plan S timeline: September 2018 – December 2024
- ⦿ 6 years for the transition should be enough.
- ⦿ Currently considering options beyond 2024.
- ⦿ Røttingen & Sweeney (2019). Financing open-access publication after 2024. *Nature Correspondence*:
  - ⦿ Funders will financially support Transformative Agreements (TAs) until 2024.
  - ⦿ After 2024, Read & Publish -> Pure Publish for portfolios of subscription journals that have become open-access journals.
  - ⦿ After 2024, cOAlition S funders will only contribute to financing Pure Publish Agreements.

# TAs have been very successful, but...

## ... their limitations are becoming clear

- ⦿ TAs proceed on a consortium-by-consortium basis:
  - ⦿ no control over when the transition to full OA is achieved.
  - ⦿ Price-per-article differences, price anchoring at high level.
- ⦿ Not yet globally equitable (see also UNESCO Declaration): P&R deals in Global North cannot be matched by the South.
- ⦿ TAs currently most often lack a price transparency component.
- ⦿ A risk that instead of hybrid journals at 20% OA, TAs will lead us to hybrid journals with 75% OA, since authors from countries without TAs still have to publish behind a paywall.



# Price and Services Transparency

- ⦿ **cOAlition S:** all fees for publication services must be transparent
- ⦿ **Two price transparency frameworks:** a set of services that need to be individually priced so they can be compared.
- ⦿ cOAlition S has now invited publishers to participate in the **Journal Comparison Service (JCS)**
- ⦿ The JCS is a secure service that enables libraries, library consortia, and funders to better understand if prices are commensurate with the publication services delivered. Publishers provide information in a standard format, including information about the publication frequency, the peer review process, times from submission to acceptance, the range of list prices for APCs and subscriptions and more..

# Price and Services Transparency

- ◉ Phased approach to invite publishers to participate in JCS.
  - ◉ sign the JCS Publisher/ESF Agreement and
  - ◉ supply their 2021 price and service data by 31 October 2022.
- ◉ If publishers do not participate, the Journal Checker Tool (JCT) will signal that the journal is not transparent re: pricing.
- ◉ cOAlition S will actively engage with library consortia to adopt price transparency as a contractual condition on TAs.
- ◉ Publishers who do not provide price transparency will eventually no longer be eligible for payment by cOAlition S funders.
- ◉ Price and services comparison may exert downward pressure on prices and create a more open market for publishing services



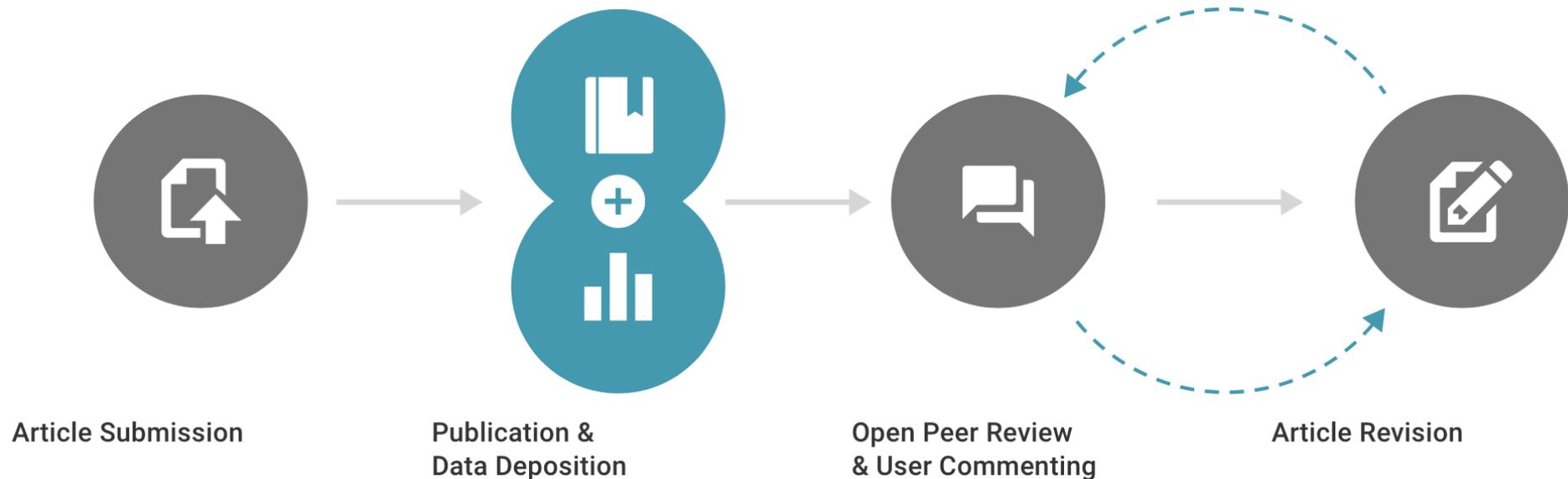
# TAs going forward

- ⦿ More pressure to **flip journals to complete OA** beyond the individual consortium (or larger consortia).
- ⦿ Moving from Publish & Read to **Pure Publish Agreements (PPAs)** that no longer reflect historical spend but actual service cost.
- ⦿ **Participation in the JCS** should be pursued as a contractual condition for any TAs and PPAs going forward.
- ⦿ TAs and PPAs should pursue **globally equitable** contracts, pushing for global tiers of payment that are a function of Purchasing Power Parity and size/ revenue stream of institution. (e.g. PLOS' Community Action Publishing pilot, or OLH's tiers)
- ⦿ Increasingly, Responsible Research Assessment will no longer rely on journal prestige. This will create a more level playing field between commercial and community-owned publishing.



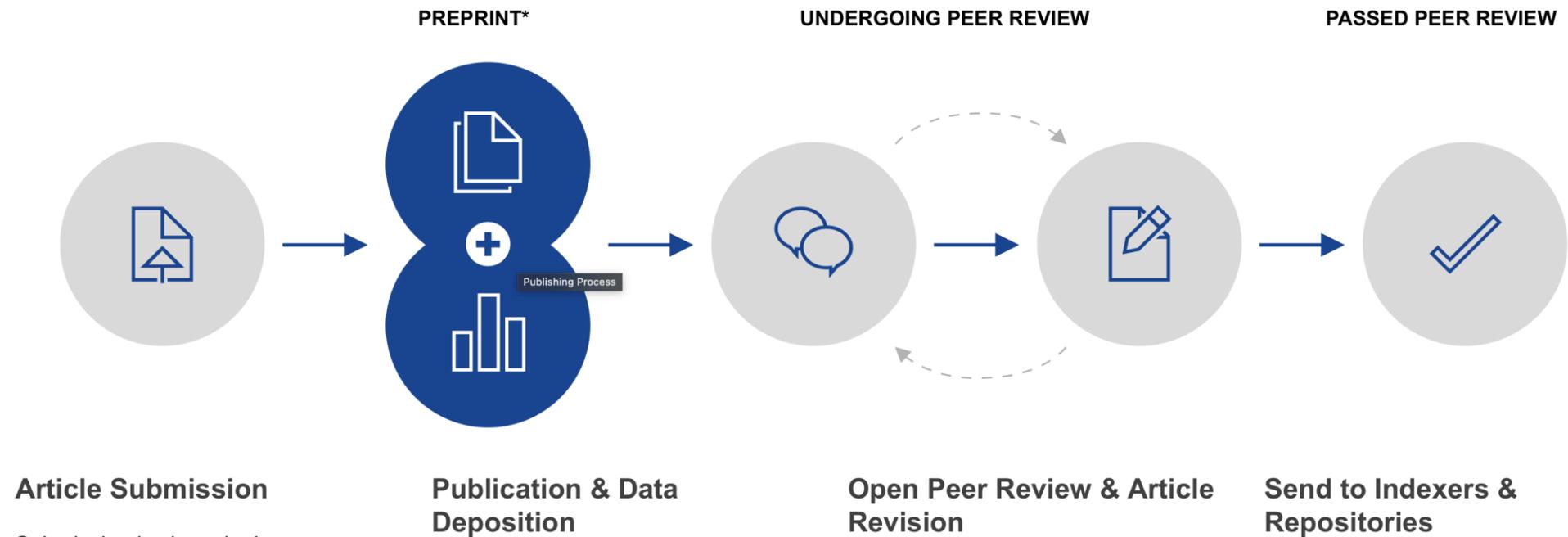
# Funder-based Open Access publishing

- Wellcome Open Research (WOR) & Gates Open Research (GOR):
  - “...controlled by Wellcome/ Bill and Melinda Gates Foundation using services provided by F1000Research.”
  - Open to all Wellcome and Gates grantees
  - single most used publishing venue for Wellcome funded researchers
  - Post-publication open peer review:



# Funder-based Open Access publishing

- Open Research Europe (powered by F1000Research)
  - publication of research funded by Horizon 2020 and Horizon Europe
  - will be opened up to other European funders



# A variety of institutional OA platforms

## ⊙ National initiatives:

- ⊙ HRČAK Portal (507 Croatian OA Journals)
- ⊙ OpenEdition (France, 567 journals)
- ⊙ *Calidad revistas científicas españolas* project (seal of quality)
- ⊙ Journal.fi (110 Finnish scholarly journals, Federation of Finnish Learned Societies)
- ⊙ Openjournals.nl (Dutch platform for OA journals, founded by KNAW, NWO and the OPUS Foundation.)
- ⊙ **Open Library of Humanities** (Birkbeck, University of London) consortial library model, 28 journals, new flipping program
- ⊙ **PsychOpen GOLD** (Leibniz Institute) Leibniz-psychology.org, 11 Diamond journals, open to 15 more.

# The OA Diamond Journals Study

- ◉ Plan S Principle 5: “*The Funders support the diversity of business models for Open Access journals and platforms.*”
- ◉ March 2021: Study on Diamond OA publishing by OPERAS-led consortium: findings, recommendations, and a dataset.  
<https://zenodo.org/record/4558704#.YO6YwS0RoRw>
- ◉ An archipelago of about 29k journals (11.5k journals in DOAJ), most relatively small, multilingual, and diverse, publishing 44% of the articles in fully Open Access journals.



# The Diamond Action Plan

- ⦿ A plan to align and develop common resources for the entire Diamond OA ecosystem, including journals and platforms, while respecting their cultural, multilingual, and disciplinary diversity.
- ⦿ Initiated and developed by ANR, cOAlition S, OPERAS and Science Europe.
- ⦿ Presented on 2 February 2022 at OSEC in Paris, and made public on 2 March for endorsement by organisations and individuals.
- ⦿ 98 organisations have signed up to the Diamond Action Plan to work together in a community.

ACTION PLAN FOR  
**DIAMOND  
OPEN ACCESS**  
MARCH 2022



# The WIDERA capacity-building call

- ⦿ The Diamond Action Plan will initially be taken forward by the €3m *HORIZON-WIDERA-2021-ERA-01-43: Capacity-building for institutional open access publishing across Europe* awarded to the DIAMAS consortium that grew out of the OA Diamond study.
  - ⦿ A comprehensive map of institutional publishing across Europe: service mechanisms, funding processes, and gaps.
  - ⦿ Activities to improve the coordination, quality and services of institutional open access publishing. Shared standards and good practices, high quality journal policies and procedures, and sustainable funding models.
  - ⦿ Actionable recommendations for strategies and policies to be adopted by research institutions to support their OA publishing activities in a coordinated way across Europe.



# Beyond the transformation...

- ⦿ Full and immediate Open Access will be achieved.
- ⦿ Prices for publication services will be **transparent** and **globally equitable**.
- ⦿ Authors will keep their intellectual property rights by applying a CC BY licence to all their publications.
- ⦿ Community-owned publishing will constitute a sustainable and trusted alternative to commercial publishing.
- ⦿ Journal prestige will be a thing of the past.

# Questions & Discussion



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