



Plan S

Making full & immediate
Open Access a reality

Plan S and cOAlition S: policies and tools for full and immediate Open Access

Danish Open Access Week 2022

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COAlition S

28 organizations worldwide

National funders

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

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

Global dimension

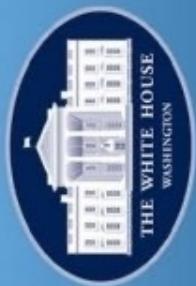
- World Health Organisation + TDR
- Jordan: HCST
- Zambia : NSTC
- South Africa : SAMRC



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.*”

- Funded researchers must make sure that all peer-reviewed papers are available in immediate Open Access with a CC-BY license. Researchers thus retain their intellectual rights.
- CC BY is the most open license. It allows the user to share and adapt the publication, provided that appropriate credit is given to the author (BY) and that the user indicates whether the publication has been changed.



Office of Science and Technology Policy



White House OSTP memo 25aug22

OSTP recommends that federal agencies update their public access policies by December 31st, 2025, to **make publications and their supporting data resulting from federally funded research publicly accessible without an embargo on publication.**

This will apply to 400 federal agencies and \$150bn research funds.

Clearly echoes the Plan S goal



Why Open Access?

- **For society:**

Open Access makes research available faster so others can build on it. It accelerates scientific discovery. It enhances the funders' return on investment in science.

- **For researchers:**

Many studies have demonstrated that articles in Open Access have a significant visibility and citation advantage.

- **For a change in *how* research is done:**

Open Access is the first step towards Open Science: peer-reviewed Open Access articles are portals to open data, protocols, and code. More collaboration, less competition.



Plan S

- Plan S itself is not a policy
- Plan S is a set of 10 principles + guidance on implementation
- cOAlition S Funders have agreed to implement the 10 principles of Plan S in a coordinated way and align their policies with the principles.

<https://www.coalition-s.org/addendum-to-the-coalition-s-guidance-on-the-implementation-of-plan-s/principles-and-implementation/>

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."

*For funders agreeing after January 2020 to implement Plan S in their policies, the start date will be one year from that agreement.

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 [Berlin 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, academies, 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.

Part II: Guidance on the Implementation of Plan S

1. Aim and Scope

Plan S aims for full and immediate Open Access to [peer-reviewed](#) scholarly publications from research funded by public and private grants. cOAlition S, the coalition of research funders that have committed to implementing Plan S, aims to accelerate the transition to a scholarly publishing system that is characterised by immediate, free online access to, and largely unrestricted use and re-use (full Open Access) of scholarly publications.

cOAlition S is committed to fulfil the specific target set out in [Plan S](#): publications resulting from research funded by [cOAlition S members' grants](#) under calls published as of 1 January 2021 (or earlier at individual members' choice), must be published in Open Access venues (journals or platforms) or made openly and immediately available in an Open Access repository.



Plan S: strong principles

- Open Access must be **immediate: no embargo periods**
- Publication under a **CC-BY license**
- No ‘hybrid’ model of publication, except as a transitional arrangement with a defined endpoint
- Pricing, contracts and publication fees should be transparent and in line with the services provided
- **Funders** commit to support such publication fees, **individual researchers do not pay**
- A commitment to assess research outputs based on their **intrinsic merit** and NOT their venue of publication or quantitative metrics



Plan S: implementation

- No Open Access business models favored, no ‘silver bullet’ approach.
- A pragmatic approach of **complementary and integrated policies** at all levels of Open Access
- Alignment and coordination with other organizations: university libraries (LIBER, ARLA...), university associations (EUA, LERU...), Confederation of Open Access Repositories (COAR), OA2020, SPARC.
- In contact with publishers and publisher organizations about our policies
- Monitoring how Plan S affects Early Career Researchers (ECR): Global Young Academy (GYA), Marie Curie Alumni Associations (MCAA), Young Academy Europe (YAE), Eurodoc.
- Global network of Plan S Ambassadors: academics and Open Access advocates who engage with the community and share their ideas.



Plan S: three routes to compliance

Authors can publish in any journal of their choice, subject to certain conditions:

- **Route 1:** Publication in full Open Access journals is compliant and financially supported by cOAlition S funders.
- **Route 2:** Publication in subscription journals is compliant if the author deposits a copy of (at least) the Author Accepted Manuscript (AAM) in a repository at publication.
- **Route 3:** Publication in journals that are under a Transformative Arrangement is compliant.



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>

Cell (Elsevier), ISSN: 0092-8674, 1097-4172 + Wellcome + University of Cambridge, United Kingdom (ROR:013meh722)

The following publishing options are aligned with your funder's OA policy.

PREFERRED TRANSFORMATIVE AGREEMENT
The corresponding author of the submitted article must be based at an institution within this transformative agreement for it to provide a route to compliance

Other conditions may also be in place around publishing through this agreement.

[Make sure to read this information.](#)

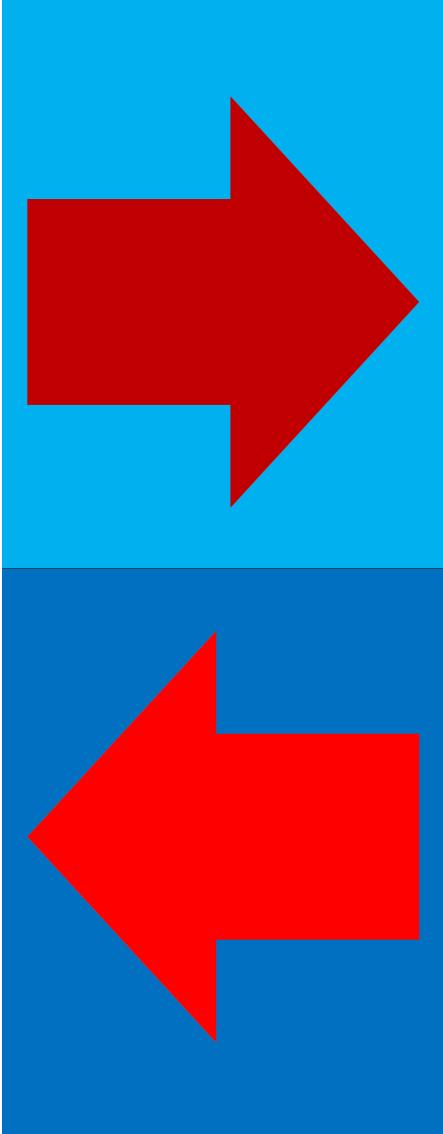
PREFERRED TRANSFORMATIVE JOURNAL
Go ahead and submit. Remember to select the open access publishing option with a [CC BY licence](#) to ensure compliance.

[Check here to confirm if your funder will pay publishing fees.](#)

[More information](#)

COMPLIANCE THROUGH SELF-ARCHIVING USING RIGHTS RETENTION
Your funder's grant conditions set out how you can retain sufficient rights to self-archive the Author Accepted Manuscript in any OA repository. Publishing fees do not apply with this route.

Caution required



Route 3: Transformative Arrangements

- Transformative Arrangements refer to publishing models where the publisher is committed to transitioning subscription and hybrid journals to Open Access.
 - Transformative Agreements (TAs)
 - Read & Publish deals
 - Subscribe to Open (S2O)
 - Transformative Journals
- This transition occurs at the level of library consortia, with the journals becoming gradually more Open Access as more library consortia conclude deals that give their researchers access to read and to publish.
- Some funders financially contribute to these initiatives, or – like FCT – are actively involved in the negotiations leading to these agreements.



Route 3: Transformative Arrangements

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



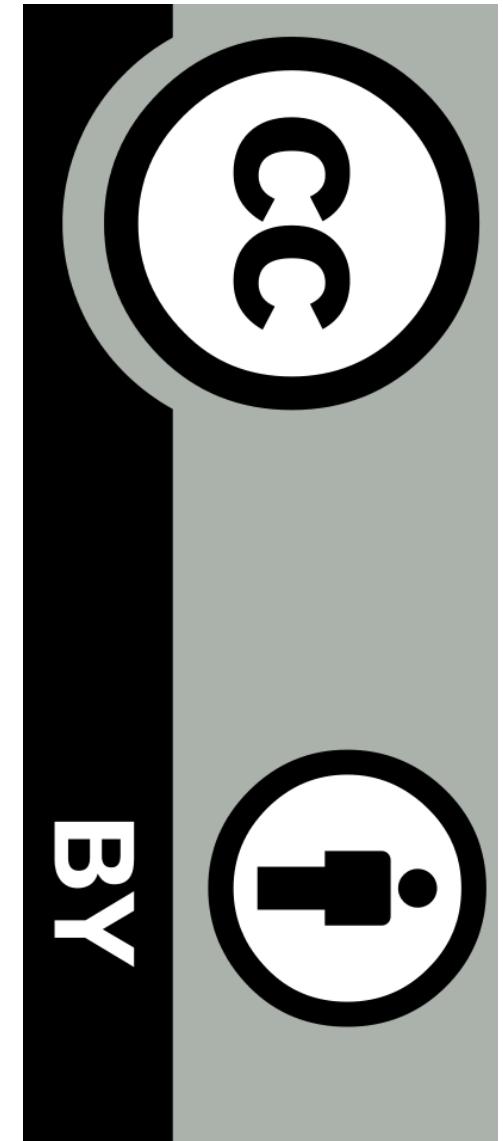
Source: [ESAC Transformative Agreement Registry](#) • Click on a country or year to filter.
Last updated: 18-06-2021

Route 2 and Rights Retention

Plan S Principle 1:

"Authors or their institutions retain copyright to their publications. All publications must be published under an open licence, preferably the Creative Commons Attribution licence (CC BY)"

- Many researchers do not fully understand that they are the original copyright holders of their papers.
- The copyright owner decides how to licence their work.
- A researcher granting a CC BY licence to their work keeps sufficient intellectual rights to reuse and share it in a repository.
- Open Access starts at the source: the author.





Route 2 and Rights Retention

- Authors who want to publish in subscription journals must deposit a copy of the AAM of the paper in a repository immediately on publication.
- **But:** authors often sign Copyright Transfer Agreements with the publisher that **prevent** depositing a copy immediately.
- **Rights Retention Strategy (RRS):**
cOAlition S grantees are required via their grant conditions to inform publishers that **a prior CC BY licence is applied to any future Author Accepted Manuscript (AAM)** arising from their submissions.
- By asserting the application of a CC BY license on their paper, authors retain sufficient intellectual rights to deposit a copy of the 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.



Rights Retention Strategy (RRS)

The RRS is based on simple principles:

- The peer-reviewed Author Accepted manuscript (AAM) is the intellectual creation of the authors and belongs to them.
- To assert ownership, the author – as the original copyright holder – applies a CC BY licence to the AAM arising from their submission.
- Delivering publication services does not entitle publishers to ownership of the AAM, which remains the intellectual property of the author.
- Publication services should be paid for, but not with ownership of the AAM. Publishers can have the rights to and be paid for the Version of Record.

1

2

3

Rights Retention Strategy (RRS)

What authors need to do

1. To inform the publisher that they are using the RRS, cOAlition S funded researchers should include the following templated language in their submissions:

“(This research was funded, in whole or in part, by [Organisation Name, Grant #].) ‘For the purpose of open access, the author has applied a Creative Commons Attribution (CC BY) licence to any Author Accepted Manuscript version arising from this submission.’”

2. On publication: make AAM open access in a repository
3. Contact their funder (or library) in case of disagreement with or obfuscation by the publisher



Publishers' smoke & mirrors

- Some publishers are knowingly putting authors wishing to use the RRS in a difficult situation.
 - Contracts can contradict the Grant Agreement the University signed with the Funder
 - Some publishers delete the RRS language from the article (censorship or copyediting?)
 - Some publishers wait until acceptance to present contract terms.
- Publishers have the right to desk-reject articles with the RRS language, but not to confuse, mislead or trick authors into violating their grant agreement.
- cOAlition S has recently written a letter to 150 publishers asking them to be clear about conditions at submission

But the RRS is receiving broad support...

- UNESCO declaration of November 2021:
“Any transfer or licensing of copyrights to third parties should not restrict the public’s right to immediate open access to a scientific publication.”
- G6 declaration, December 2021: *“we are committed to support our researchers to retain sufficient rights to publish their scholarly articles and monographs openly and we encourage them to publish their results (i.e. final version and/or manuscript) under an open license, preferably the Creative Commons Attribution License CC BY.”*
- EUA OS Agenda 2025: *“Authors and institutions need to retain their intellectual property rights (e.g. Plan S Rights Retention Strategy).”*
- European Council, June 2022: *“CONSIDERS that the authors of research publications or their institutions should retain sufficient intellectual rights to ensure open access”*





... and universities are adopting RR policies

UiT's Rights Retention Strategy

UiT is introducing a Rights Retention Strategy to facilitate that all academic literature from UiT, not just that with external funding, is made available with Green OA.

As of 1 January 2022, the following applies: Irrespective of the publication channel, full-text versions of research articles written by employees and students at UiT must be uploaded (deposited) continuously in the national register (currently called Cristin).

- If a Gold OA channel has been used, the publisher's PDF (the published version, Version of Record) must be uploaded.
- If a closed subscription-based channel has been used that does not allow self-archiving of the publisher's PDF, the latest peer-reviewed manuscript version (the author's accepted manuscript, "postprint") must be uploaded.

A screenshot of the University of Cambridge's Open Access page. The header includes the university's crest and navigation links for "Study at Ca", "Home", and "University policies & guidance". The main content area features a large "Open Access" logo and sections for "Open Access", "Funder Open Access Policies", and "Rights Retention Strategy". Under "Rights Retention Strategy", there is a link to "Rights Retention Pilot". At the bottom, there is a section for "UK Open Access Policies".

Research Publications & Copyright Policy (2021)

This policy supersedes and updates the first University of Edinburgh Research Publications Policy passed by University Court in 2010.

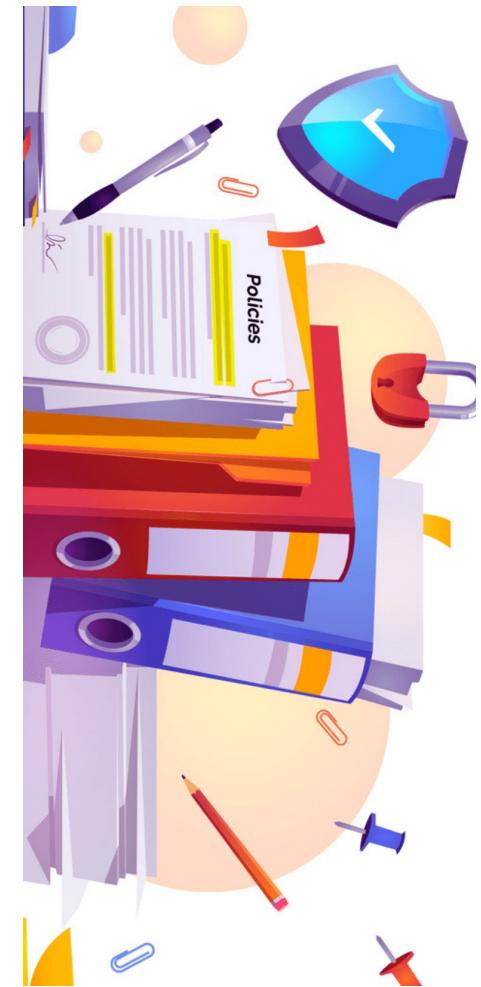
Academic staff at the University of Edinburgh have traditionally, when publishing research outputs, exercised an independent right to assign or give away their scholarly works (in addition to the University's right). This has enabled the current process of the corresponding author assigning copyright to publishers, which results in many journal articles and scholarly works now being under partial or complete ownership by the academic publishers.

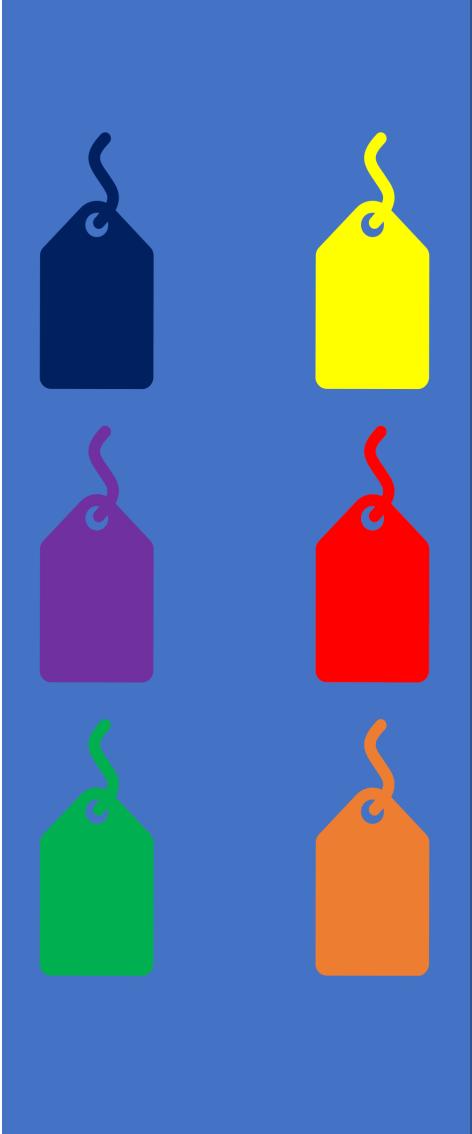
In order for the University and its researchers to comply with funder requirements, and to enable the University to disseminate its research and scholarship as widely as possible, whilst enabling its staff to publish their work in a journal of their choice the University of Edinburgh will adopt the following mandatory policy which applies to all staff on research contracts :

[Research Publications & Copyright Policy \(190.03 KB PDF\)](#)

Institutional Rights Retention policies (IRRP)

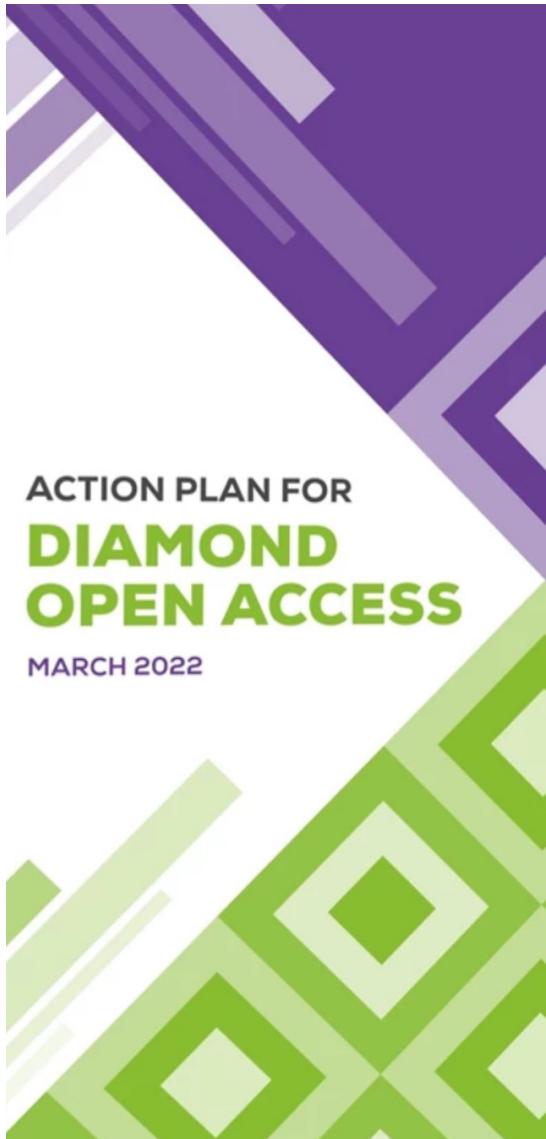
- Each researcher **licences their institution** to make a copy of their Author Accepted Manuscripts (AAM) immediately available under CC BY in a repository.
- The university announces or informs publishers of this new regulation, which takes precedence over any later copyright transfer agreements.
- This assignation of rights happens automatically and the author may no longer need to add rights retention statements to submissions.
- **IRRP are more powerful** than funder mandates, because universities are the direct employers of researchers, and Rights Retention becomes a contractual obligation.
- **IRRP protect researchers against publishers:** if CC BY is mandated by the university, a publisher convincing a researcher to drop the CC BY licence is committing **the tort of procuring a breach of contract...**





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..



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.
- Over 130 organisations have signed up to the Diamond Action Plan to work together in a community.
- Will be taken forward by the 3y–€3m DIAMAS project and the 5y–€5m CRAFT-OA project funded by Horizon Europe.



Open Access for academic books

- Principle 7 of Plan S: “...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;”
- Sept 2021: a statement on academic books with 5 recommendations:
 - All academic books based on original research supported by cOAlition S should be made available Open Access on publication.
 - Authors/ institutions should retain sufficient intellectual property rights to make books available Open Access and allow for re-use.
 - Academic books should be Open Access under a CC licence.
 - Any embargo periods should never exceed 12 months.
 - A commitment to financially support Open Access of books
- Implementation will be supported by the *Directory of Open Access Books* and in collaboration with OAPEN and the OA books network.

Questions & Discussion



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[@cOAlitions_OA](https://twitter.com/cOAlitions_OA)