



Plan S

Making full & immediate
Open Access a reality

Plan S: an overview

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A presentation in 3 parts

Part 1: About Plan S – and the problem we are seeking to solve

Part 2: Implementation – including TAs, new models and rights retention

Part 3: Tools and services

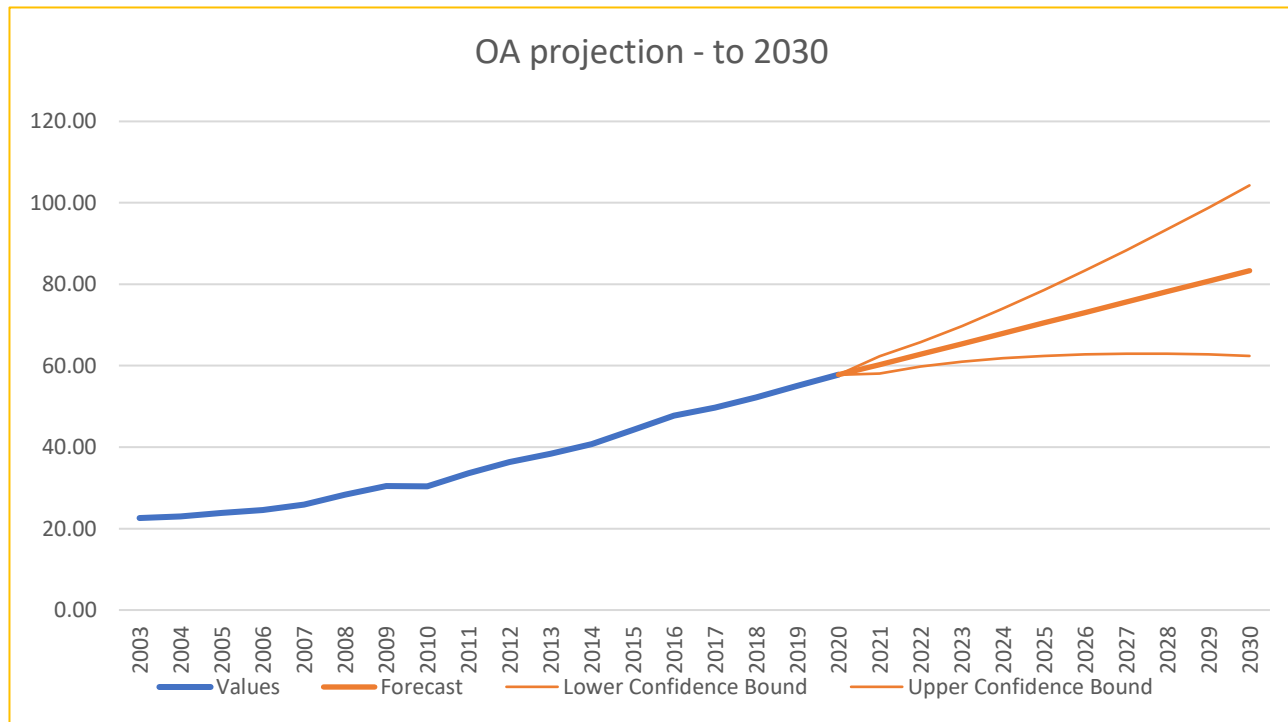
Leaving plenty of time for questions and discussion



Part 1: About Plan S

Access to scientific research remains a problem

- Almost 20 years after Bethesda, Berlin, and Budapest OA declarations, only around 55% of the world's research is published OA



May 2021

Source: Dimensions database, search performed: 25th March 2022



Plan S: a single goal

- “*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 (or equivalent)



PRINCIPLES

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
-

[illegible]

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

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
- Australia: NHMRC
- South Africa : SAMRC
- Canada, Quebec: QRF
- Jordan: HCST
- Zambia : NSTC

Approx: \$40bn in research funds, 150k articles/ year



Part 2: Implementation



Plan S: three routes to compliance

Route 1

Open Access venues

- Authors publish in Open Access journal or platform indexed by *Directory of Open Access Journals* (DOAJ)
- cOAlition S funders financially support publication fees for author

Route 2

Subscription journals

- Authors publishing in a subscription journal **must** make the Version of Record or Author Accepted Manuscript available in a repository (no embargo)
- ***NOT*** financially supported by cOAlition S funders

Route 3

Journals under a transformative arrangement

- Authors publish in a journal with a Transformative Arrangement.
- cOAlition S funders ***CAN*** financially support Transformative Arrangements

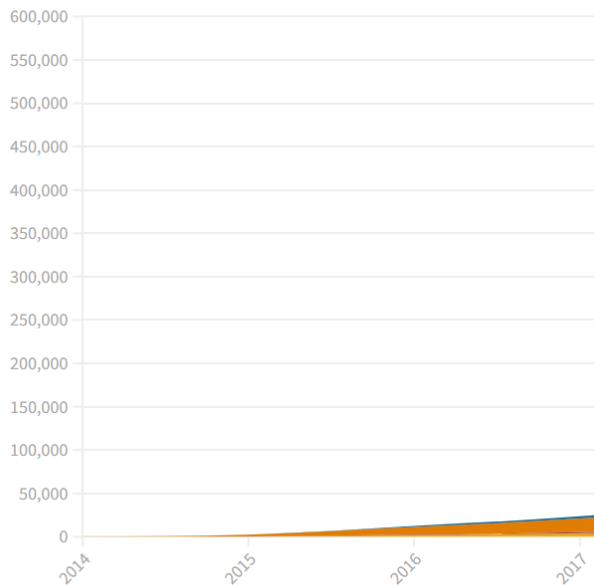
Working to support society publishers flip to OA

- Working in partnership with ALPSP, we are supporting efforts – see this [toolkit](#) – to make it easier for society publishers to engage in transformative arrangements
- Evidence emerging that Society publishers *are* making the transition to OA
 - Society publishers, such as the [American Astronomical Society](#) (AAS) and the [International Water Association](#) (IWA) moving away from a subscription model to a fully OA one.
 - The Royal Society [reporting](#) that, as a result of embracing Transformative Agreements, more than 50% of the content it published in 2021 was published OA
 - The [Microbiology Society](#) transitioning its flagship journal, *Microbiology* to OA from January 2023



Supporting Transformative Agreements

Some cOAlition S funders financially support Transformative Agreements (until 2025), contributing to a significant increase in OA articles



Source Cumulative sum of articles covered by transformative agreements on the ESAC Registry, over time

ESAC Market Watch <https://esac-initiative.org/market-watch/>



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

Pursuing Equity: Diamond OA

- ◉ Diamond OA: community-owned publishing without charges for authors or readers. Equitable by design.
- ◉ An Action 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 100 organisations have signed up to the Diamond Action Plan to work together in a community.
- ◉ Taken forward by two major EC grants (€3+5m), 2022-2027.

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.

Rights Retention Strategy (RRS)

What authors need to do

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

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

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

... with universities 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.

Policies and Regulations

Computing Regulations

Library Regulations

Security Policies

Operational Policies

Research Publications Policy

Research Data Management Policy

Advisory Policies

Statutory Notices

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 \(190.03 KB PDF\)](#)



Study at Ca

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Home University policies & guidance

Open Access

Funder Open Access Policies

Rights Retention Strategy

> Rights Retention Pilot

UK Open Access Policies



THE UNIVERSITY
of EDINBURGH

UNIVERSITY OF
CAMBRIDGE



Birkbeck
UNIVERSITY OF LONDON



Publishers' tactics to undermine RRS

1. Using contract law to enforce embargoes/non-compliant licences

Where articles are published via the subscription route, Springer Nature permits authors to self-archive the accepted manuscript (AM), on their own personal website and/or in their funder or institutional repositories, for public release after an embargo period (see the table below). The accepted manuscript is the version post-peer review, but prior to copy-editing and typesetting, and does not reflect post-acceptance improvements, or any corrections.

Use of the AM is subject to an embargo period and our AM terms of use, which permit users to view, print, copy, download and text and data-mine the content, for the purposes of academic research, subject always to the full conditions of use. Under no circumstances may the AM be shared or distributed under a Creative Commons, or other form of open access license, nor may it be reformatted or enhanced. Authors are able to publish via the gold OA publication route, which means that the published version of record will be immediately available on publication and can be shared under a CC BY licence.

2. Using online workflows to require authors, publishing in a subscription journal, to agree to pay an APC at the point of submission.
3. Re-routing submissions from subscription titles to fully OA journals (fine as long as authors agree...)

...but many examples that the RRS is working!

Article | Published: 12 April 2021

Flexible modulation of sequence generation in the entorhinal–hippocampal system

Daniel C. McNamee , Kimberly L. Stachenfeld, Matthew M. Botvinick & Samuel J. Gershman


Nature Neuroscience **24**, 851–862 (2021) | [Cite this article](#)

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Abstract

Exploration, consolidation and planning depend on the generation of sequential state representations. However, these algorithms require disparate forms of sampling dynamics for optimal performance. We

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Flexible modulation of sequence generation in the entorhinal–hippocampal system

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Associated Data

[Supplementary Materials](#) ▶

[Data Availability Statement](#) ▶

Abstract

Exploration, consolidation, and planning depend on the generation of sequential state representations. However, these algorithms require disparate forms of sampling dynamics for optimal performance. We theorize how the brain should adapt internally generated sequences for particular cognitive functions and propose a neural mechanism by which this may be accomplished within the entorhinal–hippocampal circuit. Specifically, we demonstrate that the systematic modulation along the MEC dorsoventral axis of grid population input into hippocampus facilitates a flexible generative process which can interpolate between qualitatively distinct regimes of sequential hippocampal



Access



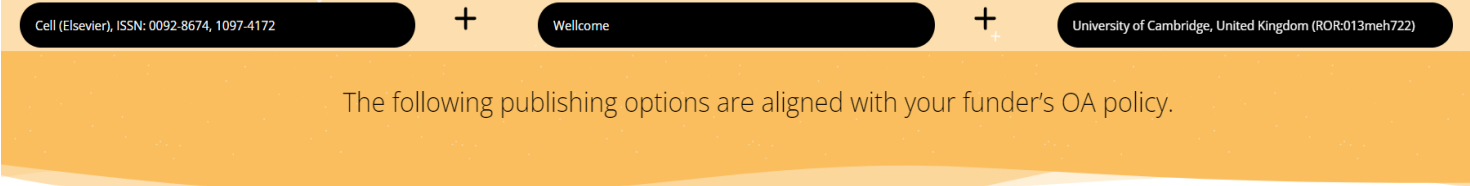
**Building tools and
services**



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>

Example



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.](#)

Cell is part of a transformative agreement between Elsevier and University of Cambridge which expires on 2024-12-31



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

Journal Comparison Service

- cOAlition S has developed the “[Journal Comparison Service](#)” (JCS) that enables:
 - libraries, library consortia, and funders to better understand if prices are commensurate with the publication services delivered
 - publishers to build understanding and trust with customers, respond to customer requests for more standard, transparent, and granular price and service information and to build better awareness of and appreciation for their services and value.
- 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 prices for services they provide (managing the peer review, marketing, author support etc).
- Price and services comparison may exert downward pressure on prices and create a more open market for publishing services.



Questions & Discussion



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