Plan S: Making Open Access a Reality by 2020

Robert-Jan Smits, Open Access Envoy of the European Commission
Background to Plan S
Principles and Declarations

- 2002: Budapest Open Access Initiative 2002
- 2003: Berlin Declaration 2003
- 2013 and 2015 (updated): Science Europe Open Access Principles
- 2016: European Council conclusions calling to reach goal of immediate Open Access by 2020
- 2016: OA2020 Initiative
The Reality...

**PUBLISHING MODELS**

Worldwide, the proportion of subscription-only journals* shrank between 2012 and 2016, giving way to more open-access (OA) and hybrid journals.

**Proportion of journals published 2012**

- **Subscription only**: 49.2%
- **Delayed OA**: 2.1%
- **Open-access**: 12.4%
- **Hybrid**: 36.2%

**Proportion of journals published 2016**

- **Subscription only**: 37.7%
- **Delayed OA**: 2.2%
- **Open-access**: 15.2%
- **Hybrid**: 45%

*From Scopus database. Hybrid journals are subscription titles that allow authors to make individual papers open for a fee.
The Open Access Envoy of European Commission’s mandate

The Council Conclusions of 27 May 2016 on the transition towards an Open Science system state that all publicly funded scientific publications should be available in Open Access by 2020;

The 2020 target is an achievable but demanding target, which can only be met with a clear roadmap, efficient coordination with Member States and an active dialogue with the publishing industry and other interested stakeholders;

Decision to appoint a Senior Adviser for Open Access and Innovation to report on the state of play on Open Access in the EU and third countries and to come with concrete policy recommendations for the Commission by 30 June 2019;

You will report to me, Vice President Ansip and Vice-President Katainen.
Plan S and cOAlition S
“After 1 January 2020 scientific publications on the results from research funded by public grants provided by national and European research councils and funding bodies, must be published in compliant Open Access Journals or on compliant Open Access Platforms.”
The 10 Principles of Plan S

- Authors retain copyright of their publication with no restrictions. All publications must be published under an open license, preferably the Creative Commons Attribution Licence CC BY. In all cases, the license applied should fulfil the requirements defined by the Berlin Declaration;
- The Funders will ensure jointly the establishment of robust criteria and requirements for the services that compliant high quality Open Access journals and Open Access platforms must provide;
- In case such 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;
- Where applicable, Open Access publication fees are covered by the Funders or universities, not by individual researchers; it is acknowledged that all scientists should be able to publish their work Open Access even if their institutions have limited means;
- When Open Access publication fees are applied, their funding is standardised and capped (across Europe);
- The Funders will ask universities, research organisations, and libraries to align their policies and strategies, notably to ensure transparency;
- 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 books may be longer than 1 January 2020;
- The importance of open archives and repositories for hosting research outputs is acknowledged because of their long-term archiving function and their potential for editorial innovation;
- The ‘hybrid’ model of publishing is not compliant with the above principles;
- The Funders will monitor compliance and sanction non-compliance.
The Motivation

Open Access to research results is foundational to the scientific enterprise. I am glad that a core group of research funders, driven by their collective duty of care for the science system, have committed to take a decisive step to change the situation.

—Marc Schiltz
President of Science Europe

http://scieur.org/coalition-s  #cOAlitionS
cOAlition S: Who is Involved?

**National funders:**
- Austria: FWF
- Finland: AKA
- France: ANR
- Ireland: SFI
- Italy: INFN
- Luxembourg: FNR
- Netherlands: NWO
- Norway: RCN
- Poland: NCN
- Slovenia: ARRS
- Sweden: FORMAS
- Sweden: FORTE
- UK: UKRI

**European funders:**
- European Research Council
- European Commission

**Charitable foundations:**
- The Wellcome Trust
- The Bill & Melinda Gates Foundation
- Riksbankens Jubileumsfond

**Coordinated by:**

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[Image of the logos of European funders]
Join the cOAlition

"I call upon funders from Europe and beyond to join cOAlition S and upon researchers, universities, research organisations, libraries, and publishers to express public support and to help accelerate the transition to full and immediate Open Access by 2020."

— Robert-Jan Smits
Open Access Envoy of the European Commission

http://scieur.org/coalition-s  #cOAlitionS
First Reactions
Carlos Moedas • @Moedas • Sep 4
I very much welcome and support today’s launch of ‘Plan S’ and #cOAlitionS - a coalition of national research funders, w/ @EU_Commission’s support - who have committed to accelerate the transition to open access of scientific publications. #OpenScience

europa.eu/ihw84rX

Frédérique Vidal • @VidalFrederique • Sep 4
Full support to @ScienceEurope who is making #OpenAccess a reality in 11 national research funding organisations including @AgenceRecherche through #cOAlitionS. A great initiative in total line with the Plan for #OpenScience launched by @French_Gov in July
goo.gl/phS1xG

Nature News & Comment • @NatureNews • Sep 4
PlanS: from 2020, scientists funded by 11 major European agencies must make resulting papers free to read immediately on publication.

STM statement on Plan S: Accelerating the transition to full and immediate Open Access to scientific publications

The Economist • @TheEconomist
A new policy will prompt scientists to publish their work in open-access journals or accessible websites by 2020 #OpenFuture
EUA supports PlanS, and its vision to accelerate the transition to full OpenAccess, while also encouraging more national research funders across Europe to adopt Plan S. Read the full position: bit.ly/2OhCazg

Kurt Deketelaere @KurtDeketelaere · Sep 4
@LERUnews welcomes Plan S which has the potential to be a game changer in the move to full and immediate OA - all stakeholders must now sit together to make it a reality: l eru.org/news/accelerate... @moedasc @JEPaquetEU @uclypau

LERU @LERUnews · Sep 4
Accelerating the transition to full and immediate openaccess to scientific publications: LERU’s reaction to PlanS l eru.org/news/accelerate...

LIBEReurope @LIBEReurope · Sep 4
LIBER Supports New Plan to Make OpenAccess A Reality By 2020 libereurope.eu/blog/2018/09/04/#PlanS#openscience#libraries

Jon Tennant @Prothedgehog · Sep 4
11 EU countries conclude: from 2020 all scientific literature must be available free of charge.

That means no ‘hybrid’, no Nature, Science or Cell. Unless they all go 100% Open Access.

Nice to see the EU following Latin America, finally.

volkskrant.nl/nieuws-acht... #PlanS

11 EU-landen besluiten: vanaf 2020 moet alle wetenschappelijke li... Het is niets minder dan een revolutie. Vanaf 2020 mogen wetenschappers met belastinggeld betaald onderzoek niet meer publiceren in wetenschap...

volkskrant.nl

Marijtje Schaeke Retweeted
Marijtje Schaeke @MarijtjeSchaeke · Sep 4
Great news! #PlanS #openaccess

LIBEReurope @LIBEReurope
Key principles of PlanS - From 2020, publications based on research funded by public grants from national and European research councils and funding bodies “must be published in compliant Open Access Journals or on...

Show this thread
Reactions from the Community

Hi

I am a student in India, and wished to thank you for advancing the decision to make science open and enable free access for all. As a student, I often struggled to get access to research papers or even articles written by the best researchers in my field.

This step will enable countless students to learn freely without being blocked by insurmountable paywalls and researchers to focus on quality of research rather than quantity / perceived prestige of platform.

Thank you.
Best,
Aditya
cOAlition S: Making full and immediate Open Access a reality

Guidance on the Implementation of Plan S
cOAlition S aims for:

- Full and immediate Open Access (OA) to publications from publicly funded research
- Shift towards new models of academic publishing
- A system for scholarly publications that is more transparent, efficient and fair
- A culture that ensures that young scholars have opportunities to excel and advance their careers

cOAlition S invites research funders, institutions, researchers, learned societies, and publishers to work together to make this happen
Roads to compliance with Plan S

- Open Access journals or Open Access platforms
- Deposition of scholarly articles in Open Access repositories without embargo
- Hybrid journals under Transformative agreements

- cOAlition S «Guidance to Implementation» specify the roads to compliance
- cOAlition S members will ensure financial support for OA publishing via the prescribed routes to compliance
- In 2023 cOAlition S will review the effects of Plan S on achieving a transition to full and immediate OA
### Requirements for compliance

<table>
<thead>
<tr>
<th>Open Access journals or Open Access platforms</th>
<th>Deposition of scholarly articles in Open Access repositories without embargo</th>
<th>Hybrid journals under Transformative agreements</th>
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</thead>
<tbody>
<tr>
<td>• DOAJ registered</td>
<td>• Version of Record (VoR) or Author's Accepted Manuscript (AAM)</td>
<td>• Journal committed to a full OA transition</td>
</tr>
<tr>
<td></td>
<td>• OpenDOAR registered</td>
<td>• Collaborate with ESAC to register contracts</td>
</tr>
</tbody>
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- CC-BY 4.0 license required. Rights retained by author/institution.
- Scholarly articles reviewed according to the standards within the relevant discipline, and according to the standards of the Committee on Publication Ethics (COPE)
cOAlition S will

- commission a gap analysis of Open Access journals to identify fields and disciplines where there is a need to increase the share of OA journals.
- collectively provide incentives for establishing OA journals/platforms or flipping existing journals to OA, in particular where there are gaps and needs.
Recognise the importance of ‘fee-free’ OA Journals and Platforms (‘free to read – free to publish’)

Pay a fair and reasonable APC level that reflects the costs involved in the quality assurance, editing and publishing process,

APC waivers for authors from low-income countries and discounts for authors from middle-income countries

Calls for full transparency and monitoring of Open Access publication costs and fees.

To help inform the potential standardisation of fees and/or APC caps, cOAlition S will commission an independent study on OA publication costs and fees (including APCs)
Hybrid model of publishing

- Funding for publishing in hybrid journals is only supported if the journals concerned are part of transformative agreements.
- From 2020 onwards, new agreements will need to fulfill certain conditions to achieve compliance with Plan S, including how the publication will be converted to full OA after the contract expires.
- Mirror journals with one part being subscription based and the other part being Open Access are not compliant with Plan S unless they are a part of a transformative agreement.
Monitoring compliance and sanction non-compliance

- cOAlition S members will align their grant agreements and/or contracts with Plan S and monitor compliance and sanction non-compliance through enforcing contractual requirements
Implementation of Plan S will take place from January 1 2020, having impact on either
1. existing grants
2. new projects/grants
3. new calls
Period of open feedback from stakeholders

- cOAlition S invites all stakeholders to give feedback in the period from November 27 2018 to the end of January 2019.
- cOAlition S will then update the Guidance document during the spring of 2019.
- Individual cOAlition S member organizations will then implement through their policies and contractual requirements in their different contexts from 2020.
For More Information

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

Thank you for your attention!
Robert-Jan Smits
John-Arne Røttingen