



Plan S

Making full & immediate
Open Access a reality

Plan S: recent developments

Nordic Open Access Forum (NOAF) | 19 October 2021

Johan Rooryck | Executive Director, cOAlition S





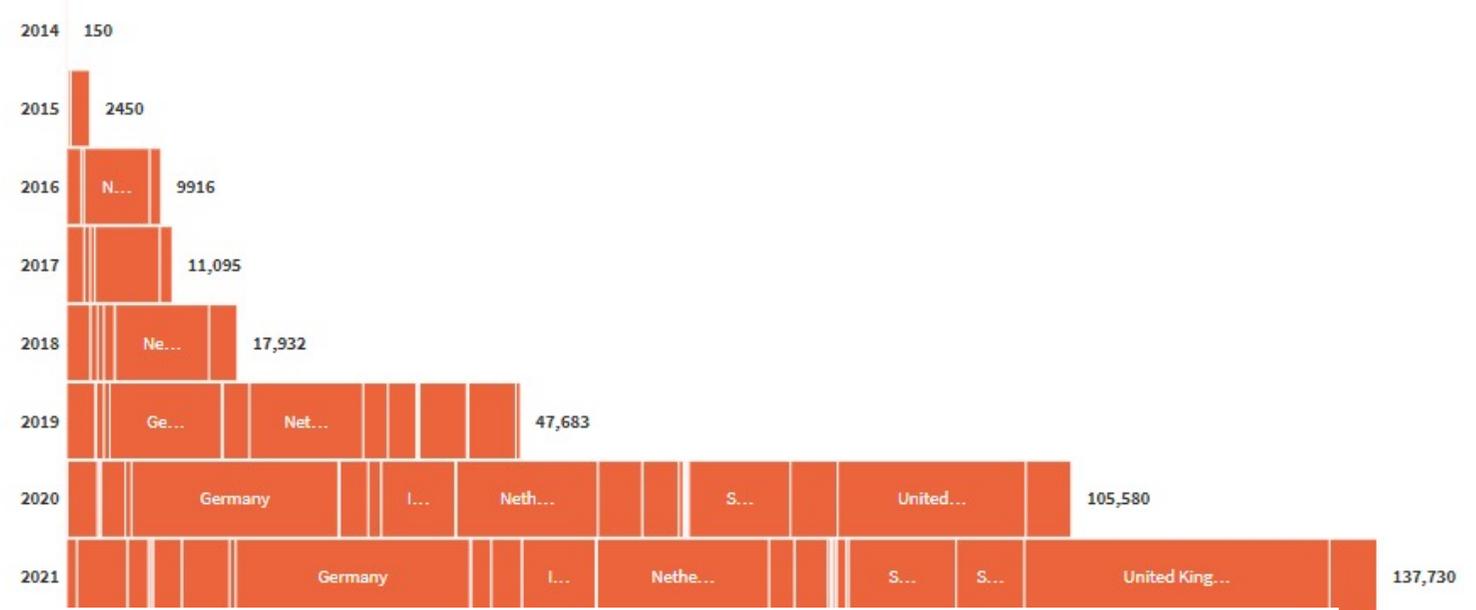
Route 3: Transformative Arrangements

- 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.
- cOAlition S aligns and consults with OA 2020.
- Some funders financially contribute to these initiatives, or are involved in the negotiations leading to these agreements.



Transformative agreements (TAs) cOAlition S support

- 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



Transformative agreements (TAs)

The road ahead

- ⦿ **More transparency**
Contracts, prices per article, and any other conditions should be fully transparent, reasonable, and for short periods.
- ⦿ **More collaboration**
between library consortia, negotiators, and funders
- ⦿ **Downward pressure on price**
- ⦿ **Global equity**
 - ⦿ TAs currently set a high price per article reflecting historical spend.
 - ⦿ These prices set a baseline that is too high for LMIC.
 - ⦿ Prices should transparently take into account Purchasing Power Parity (PPP), institution size, and reader/author proportion, in an internationally agreed system of tiers of countries.

Supporting new publishing models

- ⦿ The **Transformative Journal** model encourages subscription publishers to transition to OA: clear KPIs and a commitment to transition to OA
- ⦿ Adopted by major publishers, including ACM, Cambridge University Press, Elsevier, Karger, Oxford University Press, Royal Society, Springer Nature

	OA research articles published in 2020	Total research articles in 2020	% of OA in 2020	Target % of OA for 2021	Target number of OA research articles for 2021 (based on the same Total research articles published as in 2020)
<i>Biology Letters</i>	46	186	25	30	55
<i>Journal of the Royal Society Interface</i>	71	261	27	32	84
<i>Proceedings of the Royal Society A: Mathematical, Physical and Engineering Sciences</i>	47	321	15	20	63
<i>Proceedings of the Royal Society B: Biological Sciences</i>	159	564	28	33	187

Royal Society's TJ's – and public target OA for 2021

<https://royalsociety.org/journals/free-content/>





Rights Retention Strategy (RRS)

The principle

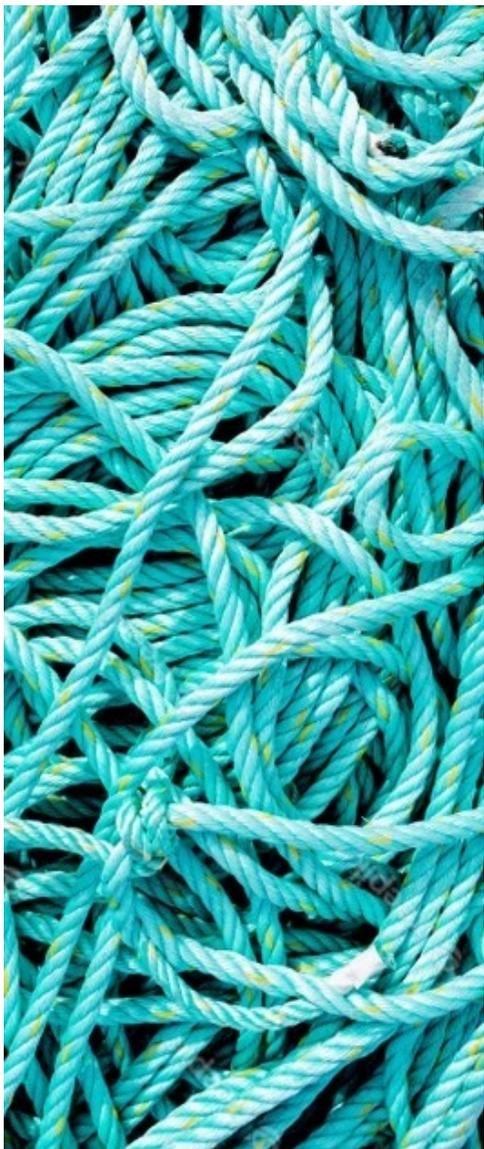
- ⦿ **The RRS is based on a simple principle:**
The peer-reviewed Author Accepted manuscript (AAM) is the intellectual creation of the authors and belongs to them.
- ⦿ To assert ownership, the author – as the original copyright holder – applies a CC BY licence to the AAM arising from their submission.
- ⦿ 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.
- ⦿ Funders and universities should ensure that their researchers are not deprived of essential intellectual property rights, a valuable asset.



Rights Retention Strategy (RRS)

Objectives

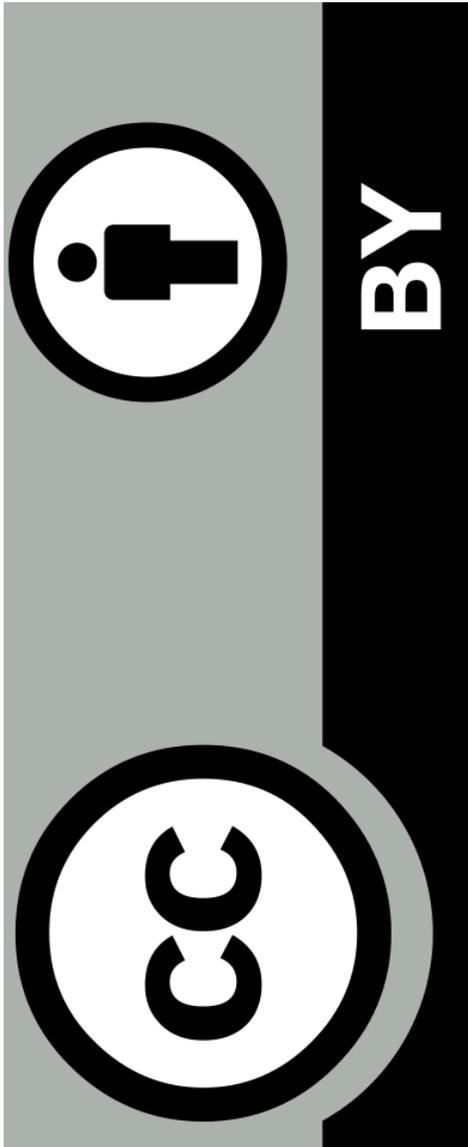
- 🕒 **Main objective:**
All research funded by cOAlition S organisations is OA with zero embargo + CC BY licence
- 🕒 **Author ownership and control:**
Empower researchers working with a cOAlition S funder to retain sufficient intellectual property rights to their Author Accepted Manuscript (AAM).
- 🕒 **Global access:**
Authors who own the rights to their AAM share it in a repository.
- 🕒 **Simplicity:**
Cut through the complexity of journal ‘permissions’: **no embargoes.** The CC BY licence on the AAM allows authors to share the AAM in a repository, and to freely reuse their own material as they see fit.



Rights Retention Strategy (RRS)

The problem we seek to resolve

- ⦿ Minimum requirement for cOAlition S Open Access:
A zero-embargo CC BY licensed AAM in a repository
- ⦿ An **obligation** through cOAlition S' organisations' grant agreements
- ⦿ Many researchers sign a publishing agreement that gives away their rights to deposit their AAM in a repository, with zero embargo and with CC BY license
- ⦿ This leads to a **contradiction** between the researchers' grant agreement and the publishing agreement
- ⦿ The Rights Retention Strategy aims to resolve this contradiction: the CC BY licence takes **legal precedence** over any conflicting provisions in a later copyright transfer agreement.



Rights Retention Strategy (RRS)

Prior licence or prior obligation

- ⦿ cOAlition S organisations' grant agreements require:
 - ⦿ immediate open access for all peer-reviewed publications
 - ⦿ sufficient intellectual property rights (IPR) retention to comply with the OA obligations
- ⦿ This is achieved in one of two ways:
 - ⦿ Either the grant agreement states that a CC BY licence is applied to all future AAMs financed by the grant (**prior licence**)
 - ⦿ Or the grant agreement requires beneficiaries to apply a CC BY licence to the AAM or the VoR (**prior obligation**)
- ⦿ In either case, authors should include a statement about the CC BY status of the AAM in their submissions.

Rights Retention Strategy (RRS)

What's in it for authors?

- Do not give away to publishers what authors rightfully own.
- CC BY on the AAM means authors can **share** it as they see fit and **reuse material** (graphs, images, tables) in later publications, without restrictions imposed by the publisher.
- An AAM openly accessible in a repository is **more visible and citable**.
- The publisher can own and receive payment for the VoR.
- Publishers provide the means to organize peer review but...
 - peer review is carried out at no charge to the publisher
 - peer review is part of the scholarly discourse
- This process is paid for:
 - by the subscription in subscription journals,
 - by the APC in Gold Open Access journals

Rights Retention Strategy (RRS)

AAM v VoR

- ⦿ cOAlition S has **3 equally valid routes to OA**:
Gold, RRS (Green), and Transformative Arrangements (TAs, TJs, S2O)
- ⦿ Some cOAlition S funders have a preference for an Open Access VoR if prices are fair and reasonable (contributions to Transformative Agreements, Transformative Journals etc).
- ⦿ For these funders, the RRS is a fallback strategy: the AAM will **ONLY** need to be made Open Access when there is no Plan S-aligned way to make the VoR Open Access.
- ⦿ Other funders and some authors prefer the RRS route.

1

Rights Retention Strategy (RRS)

Three steps to implementation

1. Update grant conditions

- Grant conditions now specify that authors must apply a public copyright licence (CC BY) to all future Author Accepted Manuscripts (AAMs), and deposit these in a repository.

2

2. Inform Publishers

- Publishers who collectively publish 95% of cOAlition S output have been notified of these changes, with responses incorporated in the Journal Checker Tool.

3

3. cOAlition S grant holders are asked to:

- Include details of the public licence in their submissions
- Deposit a copy of the AAM in a repository on publication

1

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 #]. A CC BY licence is applied to the AAM arising from this submission, in accordance with the grant’s open access conditions.”

2

2. On publication: make AAM open access in a repository

3

3. Contact their funder (or library) in case of disagreement with or obfuscation by the publisher



Publishers' smoke & mirrors

What authors may be told

- ⊙ **Wrong information:**

- ⊙ *This journal does not allow AAMs to be made OA under the RRS*
- ⊙ *If you use RRS wording, we will ask you to sign a contract pledging you will respect our embargo.*
- ⊙ *Choosing the green route means the work is under an embargo that is not compatible with your funder's policy.*

- ⊙ **In actual fact:**

The prior notice of the RRS takes precedence over conflicting provisions in your publishing agreement, and you have given the appropriate notice. However, if you specifically sign a contract agreeing to an embargo period, then you will be in breach of your grant conditions.



Publishers' smoke & mirrors

What authors may be told

- ⦿ **Misleading information (1):**

You cannot use the RRS statement when submitting to this journal.

- ⦿ **In actual fact:**

You can and you should. The only option for the journal is to refuse your paper upon submission.

- ⦿ **Misleading information (2):**

You must pay an APC to be compliant with your funder, even if the funder will not reimburse it (e.g. in a hybrid journal with no TA)

- ⦿ **In actual fact:**

An APC payment is **never** a condition for compliance with your funder's policy. Where applicable, your funder will pay for an APC in journals that have a cOAlition S compliant route. Otherwise, the RRS suffices.



Publishers' smoke & mirrors

What authors may be told

- Ignoring the
*Before proceeding
to paying for c*

Gold Open Access

- Publish as an Open Access article

I acknowledge that either I or my institution/funder will have to pay an Article Publishing Charge (APC) to make my published article available to everyone immediately.

The Bill & Melinda Gates Foundation funded your research. As of January 1 2021, The Bill & Melinda Gates Foundation will no longer pay the APC for this title. Elsevier supports authors to publish open access; if you have any concerns about paying the APC, please still submit and contact [OA Policy](#) for support and information.

Article Publishing Charge (APC)

GBP 2,000.00

Excluding Taxes

- Translation:**

Beware! The publisher is suggesting that you enter into a contractual agreement. Check if there is an option to discuss the APC before submission. If you are not comfortable with the suggested approach or in the case of hybrid journals, do not have the funds to pay the APC, submit to an alternative journal.



EUA, CESAER, and SE letter to publishers

“We are especially concerned by the unclear and opaque communication and practices of some publishers as reported by cOAlition S.”

“Researchers who wish to deposit their author-accepted manuscript in a repository with an open license (e.g. CC BY), and without any embargo, must be able to do so.”

cOAlition S

CESAER

eua20

SCIENCE
EUROPE

All publishers must fully respect researchers' rights by providing clarity and transparency on Open Access

Joint statement dated 25 May 2021

Our associations - CESAER, European University Association (EUA) and Science Europe - are strong supporters of Open Science and Open Access. It is fundamental that researchers, universities, and other research-performing organisations disseminate and reuse their research findings without restrictions or embargoes.

We note that while many scholarly publishers are showing leadership in this area by fully embracing Open Access publishing models and Open Science practices, some do not support them sufficiently. These publishers still require researchers to sign over their rights and/or make them face re-use restrictions and embargoes on how they can use their own peer-reviewed research findings.

We are especially concerned by the unclear and opaque communication and practices of some publishers as reported by cOAlition S. Such an approach complicates and confuses matters for researchers, impeding progress towards a scholarly communication system based on Open Access to research outputs.

We urge those publishers to reconsider their position and modernise, ensuring they play their part in providing fair and transparent conditions for authors. These should fully respect researchers' rights, including the right to share their peer-reviewed research findings without restrictions or embargoes. If a publisher or platform chooses to take the stance of requiring authors to sign away their rights, they should clearly and publicly state this to ensure that researchers make informed choices.

More broadly, the standard position of platforms and publishers should be to empower researchers to publish their findings (including data and digital assets) while retaining their rights. **Researchers who wish to deposit their author-accepted manuscript in a repository with an open license (e.g. CC BY), and without any embargo, must be able to do so.**

To sum up, models that continue to rely on barriers and that restrict what researchers can do with their research findings are outdated and must be replaced. As such, we fully support cOAlition S and others who explore a diversity of models for supporting the open dissemination of research.

The three signatory organisations support the open dissemination of research findings for the greater benefit of research and society and call on all publishers to stop requiring researchers to sign over their rights and to end the use of restrictions and embargoes.

Rik Van de Walle
President of CESAER
Rector of Ghent University

Michael Murphy
President of EUA
President Emeritus of University
College Cork

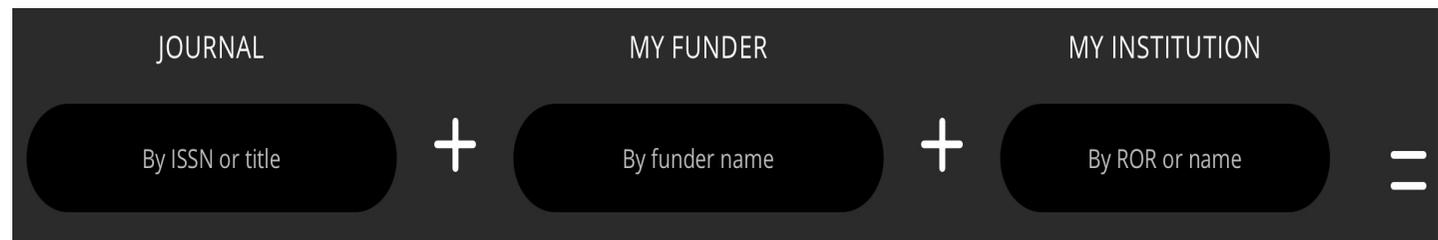
Marc Schiltz
President of Science Europe
CEO of FNR Luxembourg
College Cork

Please reference this document using <https://doi.org/10.5281/zenodo.4775945>.

Is this compliant with Plan S?

Resources for checking compliance The Journal Checker Tool

- cOAlition S grant holders must be able to identify how their journal of choice meets their funders Plan S aligned OA policy.
- A Journal Checker Tool (JCT) was developed by Cottage Labs in partnership with Antleaf.



- This combination enables researchers to find out how their journal of choice complies with Plan S: Gold APC, TA, TJ, RRS.
- The JCT has been available since November 2020, and is continually updated with new information.

Vaccine (Elsevier), ISSN: 026



Wellcome



Cardiff University, Unite



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



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.



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.

[More information](#)

Is this compliant with Plan S?

Resources for checking compliance The Journal Checker Tool

- Information on journals is sourced from:
 - Directory of Open Access Journals (DOAJ)
 - Shareyourpaper.org Permissions
 - ESAC Transformative Agreement Registry
 - CrossRef
 - Research Organization Registry Community (ROR).
 - A database of Transformative journals
- 3000 unique users and 4700 searches per month; 20% return users.
- Primary access from UK and US, but Europe is growing.
- Future upgrades will reflect funder-specific policies and language.
- A reliable tool: one-stop shop for checking funder compliance.



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.



Diamond publishing

- ◉ Diamond Open Access:
 - Free for authors and readers (rarely use per unit payments)
 - Often non-commercial, community-owned, and scholar-led.
- ◉ Study on Diamond OA publishing by OPERAS-led consortium: findings, recommendations, and a dataset.

<https://zenodo.org/record/4558704#.YO6YwS0RoRw>





The OA Diamond Journals Study

Findings & Recommendations

Quantitative and qualitative analysis of a database of Diamond journals, a survey of 1619 journals, and focus group interviews.

- ⦿ An archipelago of about 29k relatively small journals (11.5k in DOAJ)
- ⦿ 60.6% in SSH, 17.1% in medicine, 22.2% in science
- ⦿ Publishing 44% of articles in fully OA journals, and 8-9% of total publishing volume (compare 10-11% for APC Gold)
- ⦿ Wide diversity of communities, often national journals & authors, but with an international audience; frequently multilingual.
- ⦿ Recommendations:
 - International Workshop and Symposium within 6 months
 - A funding strategy within 12 months
 - A Diamond Publishing Capacity Center within 24 months.



Further information

- ◉ cOAlition S website - Rights Retention Strategy
<https://www.coalition-s.org/rights-retention-strategy/>
- ◉ Implementation roadmap for cOAlition S organisations
<https://www.coalition-s.org/plan-s-funders-implementation/>
- ◉ Journal Checker Tool: <https://journalcheckertool.org/>
- ◉ Creative Commons licences: <https://creativecommons.org/>
- ◉ email: info@coalition-s.org



This work is licensed under a [Creative Commons Attribution 4.0 International License](https://creativecommons.org/licenses/by/4.0/).
<https://creativecommons.org/licenses/by/4.0/>

Questions & Discussion



www.coalition-s.org



info@coalition-s.org



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