



Plan S

Making full & immediate
Open Access a reality

Plan S: what next after Transformative Arrangements?

DFFU's Forum for e-resources
Meeting, 21st September 2023

Robert Kiley, Head of Strategy | cOAlition S

@robertkiley

robert.kiley@coalition-s.org





Agenda

- About Plan S
- The Plan S position on Transformative Arrangements
- Rationale for this position
- Which publishing models does Plan S support?
- Q&A



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)



cOAlition S: a global coalition

European funders

- 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

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

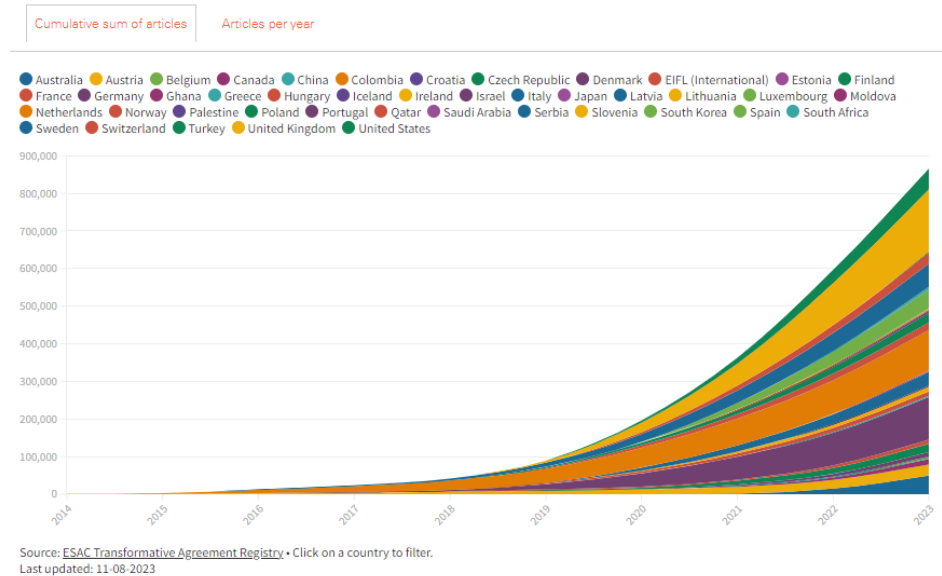
Approx: \$40bn in research funds, 150k articles/ year

Plan S position on TA's

- Transformative arrangements – including Transformative Agreements and Transformative Journals – were developed to encourage subscription journals to transition to full and immediate open access within a defined timeframe (31st December 2024), as specified in the Plan S Implementation Guidance
- cOAlition S has reaffirmed that, as a principle, its members will no longer financially support these arrangements after 2024.

Why we no longer support TAs (1 of 3)

- **TAs will perpetuate hybrid OA**
 - Although TAs *have* led to an increase in volume of content published OA, we believe that the strategy of providing ongoing financial support for TAs would significantly increase the risk that them becoming permanent and perpetuate hybrid OA



Source: ESAC Marketwatch. See: <https://esac-initiative.org/market-watch/>

Why we no longer support TAs (2 of 3)

- **Transition too slow**

- Evidence from the **Transformative Journal** programme indicates that the majority of journals are struggling to meet even the modest targets of OA growth
- Analysis of the 2022 publishing activity of TJ titles shows that **68%** of all titles did not meet their OA growth targets and will be removed from the programme
- Data from ESAC reaffirms slow progress towards OA

Publisher	Fully OA	Hybrid	TA	Closed
Elsevier	6.5%	6.3%	6.9%	80.3%
Wiley	8.6%	7.9%	17.3%	66.2%
Springer Nature	29.4%	6.7%	11.3%	52.7%
T&F	8.6%	2.7%	11.5%	77.3%
Sage	15.6%	3.6%	16.1%	64.7%

Source: ESAC Marketwatch. All data refers to articles published in 2021. See: <https://esac-initiative.org/market-watch/>



Why we no longer support TAs (3 of 3)

- **Concern that some commercial publishers are happy for both Read/Publish AND subscription models to persist in the long term**
 - At least six titles, published by Springer Nature, were unilaterally withdrawn from the TJ programme, despite meeting their 75% OA penetration rate threshold. For example, 100% of the articles published in the journal *European Journal for Security Research* were published OA in 2022
 - Springer Nature CEO confirmed at B16 meeting, that they would continue to launch subscription journals
 - Pushback against Nelson memo in US (as seen in the US Appropriations Bill) maybe the work of the American Association of Publishers.

Appropriations Bill and the AAP fingerprints

SEC. 552. None of the funds made available by this or any other Act may be used to implement, administer, apply, enforce, or carry out the Office of Science and Technology Policy's August 25, 2022, Memorandum to Executive Departments and Agencies entitled, "Ensuring Free, Immediate, and Equitable Access to Federally Funded Research."

Commerce, Justice, Science and Related Agencies [Appropriations Bill](#) from the US House of Representatives

7. Client Name	<input type="checkbox"/> Self	<input type="checkbox"/> Check if client is a state
Association of American Publishers		
TYPE OF REPORT		8. Year 2023
9. Check if this filing amends a previously filed version of this report <input type="checkbox"/>		
10. Check if this is a Termination Report <input type="checkbox"/>		
		IN
12. Lobbying		
INCOME relating to lobbying activities for this reporting period was:		
Less than \$5,000 <input type="checkbox"/>		
\$5,000 or more <input checked="" type="checkbox"/> \$ 50,000.00		
Provide a good faith estimate, rounded to the nearest \$10,000, of all lobbying related income for the client (including all payments to the registrar behalf of the client).		
Signature	Digitally Signed By: Robert Goodlatte	
LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client.		
15. General issue area code CPT		
16. Specific lobbying issues		
Copyright policy issues.		
Government regulation of publications.		
Artificial intelligence issues.		
Copyright licensing issues.		
Issues related to peer reviewed journal articles (including copyright issues and CJS Appropriations issues).		

Disclosure [form](#) making it clear that a lobbyist for AAP is working on issues related to Appropriation issues



If not TA's, what publishing models will Plan S support?

- To incentivise subscription publishers to transition to full and immediate Open Access, we will encourage the development of **Full-OA Publishing Agreements**, where all peer-reviewed research articles are made Open Access.
 - Individual cOAlition S funders may financially contribute to such agreements negotiated between institutions, library consortia, and publishers
- Longer term, we expect cOAlition S members will direct their efforts to more **innovative and community-led Open Access publishing initiatives** that aim to deliver full and immediate Open Access in a shorter timeframe



Innovative and community-led Open Access publishing initiatives (1 of 3)

- ⦿ Acknowledging the growing need for alternative, **not-for profit publishing models**, cOAlition S is actively involved in European and global efforts for Diamond OA, such as the EC-funded DIAMAS and CRAFT-OA projects, the Action Plan for Diamond Open Access etc
 - ⦿ In line with EC Council [call](#) for transparent, equitable, and open access to scholarly publications
- ⦿ Explicitly [recognizing](#) that a **refereed preprint** has equivalent merit and status as peer-reviewed publications that are published in a recognised journal or on a platform

Innovative and community-led Open Access publishing initiatives (2 of 3)



- In partnership with Jisc and Plos, cOAlition S has recently established a [multi-stakeholder working group](#) to identify business models and arrangements that enable **equitable participation in knowledge-sharing**
- Over the next 12 months we will seek to explore this issue and work to develop:
 - Attributes that an equitable publishing business model supports
 - Good practice guidelines on how stakeholders can support such models
 - Guidance on how open science practices can be fostered by funders, libraries and publishers

Innovative and community-led Open Access publishing initiatives (3 of 3)

- cOAlition S is currently developing a new proposal, provisionally entitled “*Towards Responsible Publishing*”, aimed at fostering a community-based communication system for open science in the 21st century
 - Proposal will be published in October 2023, followed by a large-scale consultation with the research community allowing them to contribute to the development of a strategy that serves their needs
 - Supplier identified to lead this consultation
- Learn more at our future plans, at our [Plan S @ 5 webinar](#), 2nd Nov at 16.00 GMT



Questions & Discussion



www.coalition-s.org



info@coalition-s.org



twitter

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