Plan S, Open Access & European Funding
Possibilities & Challenges for Researchers

Dr. Andrea Hacker, Open Science Team
28. Mai 2019, Mittelstrasse 43
Main Principle:
By 2020 scientific publications that result from research funded by public grants provided by participating national and European research councils and funding bodies, must be published in compliant Open Access Journals or on compliant Open Access Platforms.

Timing:
- Publication: 04. September 2018
- Feedback: 08. February 2019
- OA Goal: 01. January 2020

Authors:
- Science Europe
- ERC
- European Commission
Guiding Principles

In addition:

10 Guiding Principles of Plan S

01 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;

02 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 addition:

10 Guiding Principles of Plan S

03
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;

04
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;
Guiding Principles

In addition:

10 Guiding Principles of Plan S

05
When Open Access publication fees are applied, their funding is standardised and capped (across Europe);

06
The Funders will ask universities, research organisations, and libraries to align their policies and strategies, 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 books may be longer than 1 January 2020;
Guiding Principles

In addition:

10 Guiding Principles of Plan S

08 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;

09 The ‘hybrid’ model of publishing is not compliant with the above principles;

10 The Funders will monitor compliance and sanction non-compliance.
Coalition S

Authors
Reactions

Support
Reactions to Plan S

Reactions

Backlash and ongoing discussions

Selection of issues

• Timeline too aggressive
• Many questions regards implementation
• Lack of involvement of researchers
• Lack of involvement of HEI
• Underplay of OA green (repositories)
• Overplay of technical aspects (XML)
• Difficulties of APC caps, costs and funding
Reactions to Plan S

Uni Bern

OA and Reaction to PlanS

Resources
Statement via The Guild can be found here

UniBern Open Access Policy can be found here

Open Science Team Bern can be found here
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.”

In addition:

1. 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 fulfill the requirements defined by the Berlin Declaration;¹
2. 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;
3. 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;
4. 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;
5. 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;
6. The Funders encourage governments, universities, research organisations, libraries, academies, and learned societies to align their strategies, policies, and practices, notably to ensure transparency.

¹ Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities: https://openaccess.mpg.de/Berlin-Declaration
7. 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;

8. 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;

9. 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.
Update 31. May 2019 (ctd.)

Summary of changes:

- In order to provide more time for researchers and publishers to adapt to the changes under Plan S, the timeline has been extended by one year to 2021.
- Transformative agreements will be supported until 2024.
- More options for transitional arrangements (transformative agreements, transformative model agreements, ‘transformative journals’) are supported.
- Greater clarity is provided about the various compliance routes: Plan S is NOT just about a publication fee model of Open Access publishing. cOAlition S supports a diversity of sustainability models for Open Access journals and platforms.
- More emphasis is put on changing the research reward and incentive system: cOAlition S funders explicitly commit to adapt the criteria by which they value researchers and scholarly output.
- The importance of transparency in Open Access publication fees is emphasised in order to inform the market and funders’ potential standardisation and capping of payments of such fees.
- The technical requirements for Open Access repositories have been revised.
Thank You

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Coffee Lecture „Plan S“, 28. Mai 2019, Mittelstrasse (Presentation: CC-0)