

Content

- The long road towards Open Access
- Where are we now regarding OA?
- What is *Plan S*?
- Why does NWO support *plan S*?
- Responses so far; what are the next steps?
- Questions & Discussion



The long road towards OA : 15 years of principles and declarations

- 2002: Budapest Open Access Initiative 2002
- 2003: Berlin Declaration 2003
- 2013: Kamerbrief Sander Dekker: ambition 100% open access in 2020
- 2015: Netherlands presidency of EU and Amsterdam Call for Action
- 2016: European Council and all ministers of Science and Education: 100% full immediate Open Access in 2020
- 2017: "Open Science and Open Access will become the norm" according to Regeerakkoord Rutte III

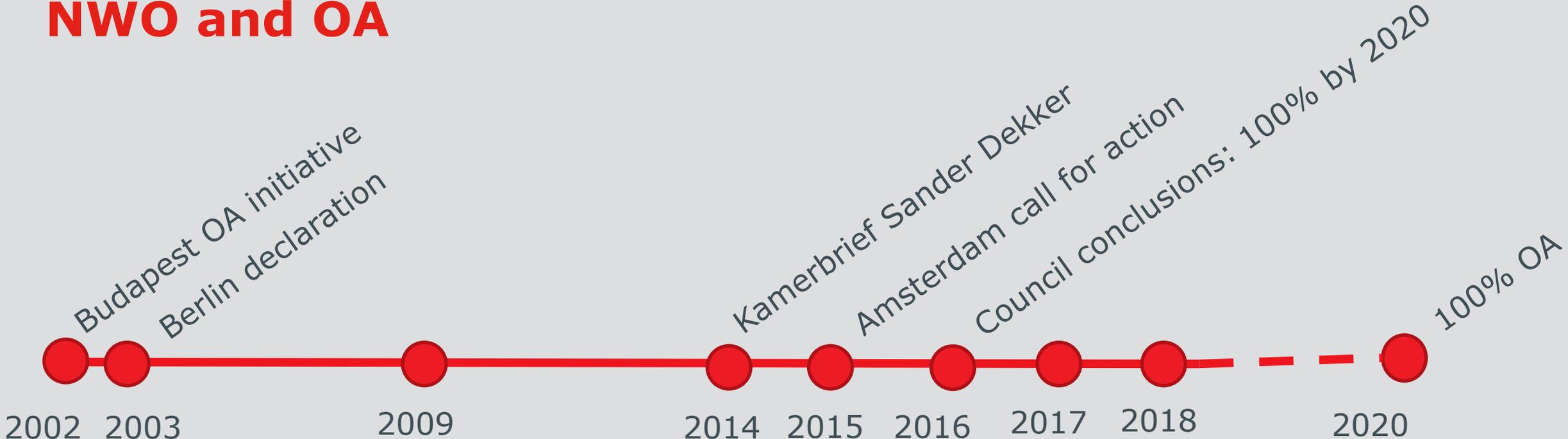


NWO and OA

- 2003: Berlin Declaration 2003
- 2009: first OA-policy in grants
- 2010: OA- stimulation fund
 - * to finance OA publications (APC's)
 - * to organize sessions to explain, support and promote OA
- 2015: next phase of OA-policy: change from "asap" to immediate
Start of VSNU negotiations with publishers
- 2017: National Plan Open Science



NWO and OA



Current OA policy of NWO (since 2015)

All publications, which result from research funded by NWO, should be made OA accessible immediately after publication.

Two possible ways to comply with this policy:

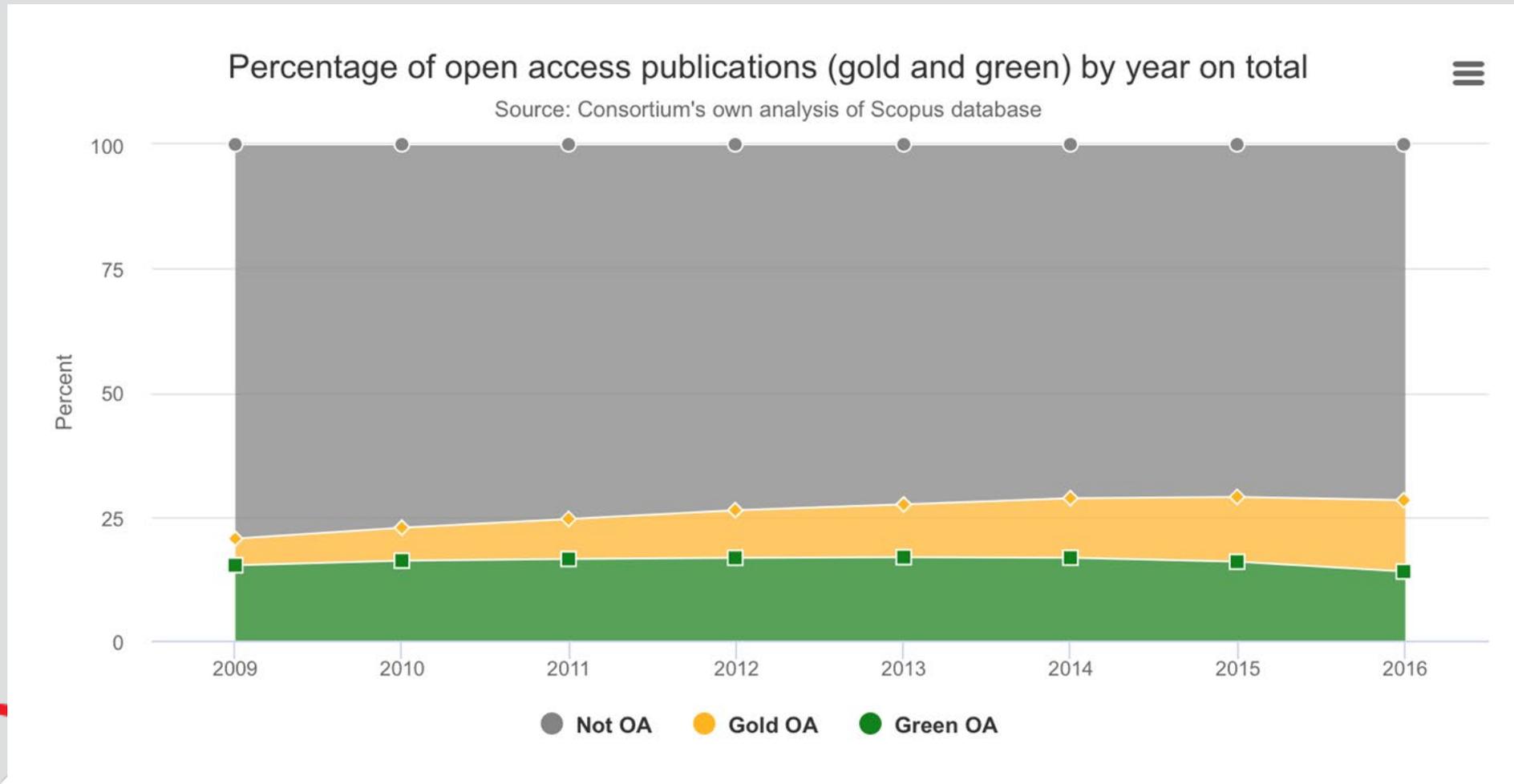
- Publication OA journal (gold or hybrid)
- Archive in a **repository** (green)

In addition

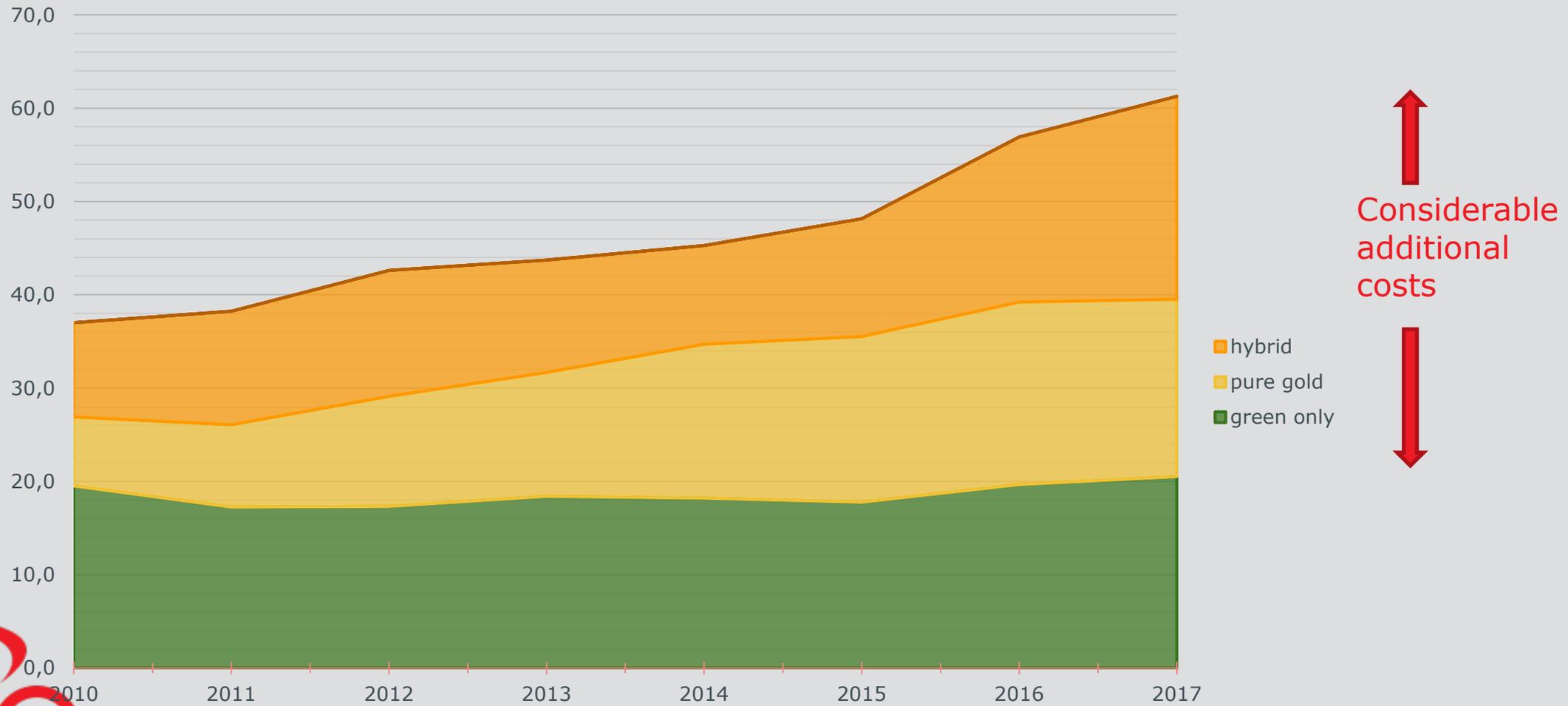
- **no embargo period**
- Costs for publications (only full OA) will be paid by NWO (either from the grant or from OA stimulation fund).
- No monitoring or enforcement by NWO



OA-uptake: situation for Europe



OA-uptake: situation for NWO-output



Frustration and other reasons to support Plan S

1. Researchers

- Write grants,
- Do the research,
- Write papers in full journal compatible lay-out
- Review papers

Yet, the papers can only be read by researchers after paying high subscription fees and in addition APC's to achieve Open Access.

2. On average, APC's of hybride journals are twice as high as APC's of regular OA journals

3. Research budget of faculties and universities did not increase proportionally with the increase of subscription fees. Consequence: cancelling subscriptions or cutting research budgets.

4. Profit rates of publishers



Plan 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.”



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

Principles 1-5

- Authors **retain copyright** without any restrictions.
- The Funders will ensure jointly the establishment of **robust criteria** and requirements for compliant high quality OA journals and OA platforms;
- In case such high quality OA journals or platforms do not yet exist, the Funders will provide **incentives to establish** and support them when appropriate (including OA infrastructures);
- OA publication **fees are covered by the Funders or universities**, not by individual researchers; all scientists should be able to publish their work Open Access even if their institutions have limited means;
- When OA publication fees are applied, their funding is standardised and capped;



Principles 6-10

- The Funders will ask universities, research organisations, and libraries to **align** their policies and strategies;
- The above principles shall apply to all types of scholarly publications, but timeline to achieve OA for **monographs** and books may be longer than 1 January 2020;
- The **importance of open archives and repositories** for hosting research outputs is acknowledged;
- The **'hybrid' model of publishing is not compliant** with the above principles;
- The Funders will **monitor compliance** and sanction non-compliance.



Plan S is drastic ? YES !

PUBLISHING MODELS

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



*From Scopus database. Hybrid journals are subscription titles that allow authors to make individual papers open for a fee.

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Wat betekent "backing door KNAW, VSNU en minister

- KNAW, VSNU en ministerie OCW zijn in een vroeg stadium geraadpleegd en steunen de lijn om top-down tot een sterke versnelling te komen; daarmee steunen ze de spirit van Plan S.
- KNAW, VSNU en ministerie zijn geen ondertekenaar van Plan S en zitten dus ook niet aan tafel met andere partijen.
- KNAW, VSNU en ministerie delen veel zorgen vanuit het veld (en het huidige plan roept veel vragen op), maar NWO staat daar ook voor open. Daarom is de lijn om NWO zo veel mogelijk te helpen om op Europees niveau tot een implementatie te komen die werkbaar is voor het veld en rekening houdt met alle opmerkingen en aandachtspunten van onze leden en het veld.
- Dit is een enorme transitie die ongetwijfeld niet in een jaar gemaakt kan worden.



NWO supports plan S (with backing from KNAW, VSNU, Minister OCW) because

- Results of publicly funded research should not be hidden behind pay walls.
- Public tax money should be spent on research as much as possible; any costs for overhead and other costs should be as low as possible.
- The ambition of NWO to go for 100% OA in 2020 is serious.
- Negotiations at the national level have reached their limits. Yet, we are far from the target of 100% OA and the business models have not changed. International collaboration is necessary to make the transition.



Which countries support Plan S right now ?

Country	Organisation
Austria	Austrian Science Fund
Finland	Academy of Finland
France	French National Research Agency
Ireland	Science Foundation Ireland
Italy	National Institute for Nuclear Physics
Luxembourg	National Research Fund
Netherlands	Netherlands Organisation for Scientific Research
Norway	Research Council of Norway
Poland	National Science Centre Poland
Slovenia	Slovenian Research Agency
Sweden	Swedish Research Council for Health, Working Life and Welfare
Sweden	Swedish Research Council for Sustainable Development
UK	UK Research and Innovation

European Commission, including the European Research Council
Others (also outside Europe) will follow



Next steps

- Plan S is about principles. Details will have to be worked out.
 - First by the 14 (+??) cOAlition S funders to assure a collective implementation;
 - Implementation document will be available by the end of the year and will be open for consultation.
- cOAlition S continues to talk to the publishers
- Expanding cOAlition S with major partners outside Europe
- Work/preparations on implementation of Plan S within NWO (as part of grant conditions)



Concerns at the scientific community (1)

- Is there a role for the publishers in the near future ?
 - *Yes ! Research output should be published !*
 - *But at a reasonable price for services that are provided*
 - *In addition to papers, the community needs reviews, opinion papers, articles about trends in science and society*
- Contracts between VSNU and publishers expire later than 1-1-2020. How should we comply with potential legal issues ?
 - * *We will comply with contracts by a transition period until contracts expire*



Concerns at the scientific community (2)

- What if only a few countries will join cOAlition S ?
 - * *If Netherlands is just one of a few countries, Plan S has failed !*
- Why the abrupt date of 1-1-2020 and what are the implications?
 - * *All grants, awarded by NWO after 1-1-2020, should comply with the principles of Plan S*
- What about the green route and repositories like ArXiv?
 - *These repositories are fine as long as they contain the accepted version at the date of publication (no embargo period)*
 - *And copyright is retained by the author*

Concerns at the scientific community (3)

- How about journals of “learned societies” ?
 - *Most journals of learned societies are OA !*
 - *Some of them might want to change their business model*
 - *Many of the journals allow that the accepted manuscript is published on an archive without any embargo period*
- Plan S will lead to substantially higher costs for researchers
 - * *We don't think so : APC's hybrid journals are (on average) twice as high as APC's of healthy, high-quality OA journals*
- Plan S promotes new predatory OA journals
 - * *According to Plan S, OA journals should meet quality criteria: DOAJ list*

Thanks for your attention

