

Implementation of Plan S



Introduction

In September 2018, NWO decided to join cOAlition S and Plan S, an initiative by 27 research funders to accelerate the transition to Open Access. COAlition S aims to boost the transition to Open Access by aligning, as much as possible, the conditions set by the various funders for the publishing behaviour of their funded researchers. After a public consultation, the final [Implementation Guidance](#) was published in June 2019. Next the funding conditions and policies of all cOAlition S members will be updated. This describes how NWO intends to implement Plan S.

Embedding of Open Access policy

Since 2009, NWO policy has stated that publications resulting from NWO funding must be available Open Access. In 2015, at the request of the then State Secretary Dekker and in line with the ambitions of the Dutch government, this policy was turned into a [mandate](#). NWO's Open Access policy is laid down in the NWO Grant Rules (2015, 2017). That requirement has been further elaborated in standard texts for calls for proposals and award letters, and is explained in more detail on the website. NWO has opted to use the implementation of Plan S as an opportunity to draw up a "Policy Framework" to be published as an annex to the NWO Grant Rules.

Choices made

In terms of content, the attached Policy Framework mirrors the requirements and conditions agreed within cOAlition S as closely as possible. This is, after all, the overall aim: the alignment of requirements of all partners in cOAlition S of the conditions set to funded researchers, in the hope and expectation of inducing change within the academic publishing sector.

Books

In one respect NWO has departed from the guidelines of Plan S: the conditions regarding Open Access for books. Plan S currently focuses on peer-reviewed scholarly articles. COAlition S has decided to exclude books from the scope until at least 2021. However, several funders within cOAlition S, including NWO, already have an Open Access policy for books. It would make no sense to drop these requirements with the introduction of Plan S. Updating NWO's policy offers an opportunity to review and clarify guidelines regarding Open Access books. This is done with a view on the requirements already adopted or proposed by other research councils such as [UKRI](#), [FWF](#) and [SNSF](#). The European Commission also intends to apply the requirements of Plan S to Horizon Europe (including the ERC) and is expected to extend it to long-form publication types.

Comparison of Plan S with current NWO policy (2015)

How do the Plan S requirements relate to NWO's current Open Access policy? Although some responses seem to suggest otherwise, the Plan S requirements are not substantially different from the current NWO policy applied since 2015. They should be seen as a next step.

	Current NWO policy (since 2015)	Plan S
Golden route	<ul style="list-style-type: none"> Is the preferred route in accordance with OCW policy Any article processing charges (APCs) are covered by NWO... ... provided the journal is registered in DOAJ 	<ul style="list-style-type: none"> Is compliant provided the journal is registered in DOAJ and meets minimum quality requirements Any APCs are covered
Green route	<ul style="list-style-type: none"> No embargo accepted Version not specified, preprints also accepted Repository must be registered in OpenDOAR 	<ul style="list-style-type: none"> No embargo accepted Preferably the Version of Record, but at least the Author Accepted Manuscript (no preprints) Repository registered in OpenDOAR
Hybrid	<ul style="list-style-type: none"> Is compliant, but.. .. NWO does not pay hybrid APCs (since 2015) due to the risk of double dipping. 	<ul style="list-style-type: none"> Is compliant provided the journal is part of a Transformative Agreement Hybrid <u>outside</u> a Transformative Agreement is also compliant by applying green route (zero embargo) APCs not paid by funders, funders can contribute financially to Transformative Agreements
Copyright / licences	<ul style="list-style-type: none"> Authors may not transfer their copyright if this prevents publications to made OA No policy regarding application of CC BY licences 	<ul style="list-style-type: none"> Authors must retain their copyright Application of CC BY licence or, exceptionally, CC BY-ND
Enforcement / monitoring	<ul style="list-style-type: none"> No enforcement / monitoring 	<ul style="list-style-type: none"> Enforcement and monitoring (interpretation by individual funders)

Transformative Agreements

One route to compliance with Plan S is that of Open Access deals with academic publishers as concluded by VSNU / UKB. Compared to the rest of Europe the Netherlands is well ahead in terms of concluding such [agreements](#). Currently, 15 such agreements are in place. The responsibility for negotiating these deals lies with the Association of Universities in the Netherlands (VSNU) and the Consortium of University Libraries (UKB). Unlike in some other countries, the national research council (NWO) is not part of these negotiations (the recent Elsevier case being an exception). However, the understanding in the Netherlands is that these deals enable NWO-funded researchers to publish Open Access in accordance with NWO grant requirements. These Transformative Agreements do in fact make an important contribution to the Open Access availability of NWO-funded research. It is estimated that, following the recent Elsevier deal, 70% of articles citing NWO as a funder will be covered by one of the Open Access deals.

Repository route

One route to compliance with Plan S is the repository route: deposition of an article (at least the author accepted manuscript) in an Open Access repository. COAlition S does not accept an embargo period. This makes this route challenging because many publishers only permit self-archiving in a repository after an embargo of 6 or 12 months (in the SSH sometimes 24 months). COAlition S is working on a solution that will allow researchers to comply with this zero-month requirement. More information on this will follow in summer 2020.

Compliance monitoring

One principle of Plan S is that compliance with the requirements will be monitored and enforced. It is left to the individual funders to determine how best to monitor compliance and what sanctions to introduce. NWO has decided to withhold 2.5% of the grant money if, on completion of the project, it appears that publications listed in the final report are not available in Open Access according to one of the above routes. Considerations of fairness and proportionality will of course be taken into account and researchers found to be in non-compliance will be given the opportunity to “correct” this by retro-actively depositing their publications in a repository. For this authors can invoke the Dutch Copyright Act, which gives all Dutch researchers the right to share their work via a repository, irrespective of any restrictive conditions imposed by the publisher.

Accompanying measures

Either on its own initiative or as part of cOAlition S, NWO will adopt a series of measures to make it easier for researchers to meet the Plan S requirements. For example:

- A [Journal Checker Tool](#) will be developed to enable researchers to check whether a journal meets the Plan S requirements or not.
- The project budget can be used to fund APCs for full Open Access publications. Especially for Open Access Books a [dedicated funding instrument](#) has been launched.
- A [toolkit](#) has been developed to help learned societies make the transition to Open Access.
- NWO has awarded funding for the www.openjournals.nl project aimed at developing an Open Access platform for independent Dutch journals that are finding it difficult to make the transition to Open Access.
- NWO has decided to join [EuroPubMedCentral](#). This is an international repository infrastructure in the biomedical and life sciences that enables researchers in those disciplines to publish in compliance with Plan S via the green route.
- National efforts in the context of “[recognition and rewards](#)” following the publication of the position paper “Room for everyone’s talent” should also be seen as supporting Plan S. For NWO, the decisive factor in all its funding instruments is not the reputation of the journal, the number of articles or the impact factor, but the contents of the work itself. To support that NWO has introduced a new [narrative CV](#) format in the Talent Scheme.

Process and consultation

This implementation document was discussed by the NWO Executive Board at its meeting on 8 April and has since been discussed with a range of stakeholder organisations inside and outside NWO, including VSNU, UKB, NWO domain boards, KNAW, NPOS and NFU. In those meetings Plan S itself was not under discussion, but rather its implementation within NOW grant requirements. The Open Access Policy Framework 2021 was adopted by the NWO Executive Board on 24 June 2021. NWO will monitor the implementation of Plan S closely in the coming years. NWO remains alert to any potentially negative consequences and will monitor/evaluate the implementation of Plan S on an annual basis.

Open Access Policy Framework 2021



As adopted by the Executive Board on 24 June 2020

Introduction

Full and immediate access to scientific publications and their availability for use and reuse is an essential precondition for a well-functioning science system. Open Access improves the (online) dissemination and findability of scientific results, thus increasing the potential impact on science and society. As a signatory to the [Berlin Declaration on Open Access](#) since 2005, NWO is committed to ensuring that the results of NWO-funded research are available Open Access. NWO is thus fulfilling the ambitions of the Dutch government ([OCW 2013](#), [OCW 2016](#)) and the Council of the European Union ([EC 2016](#)). Publicly funded research should be openly available for everyone to read and reuse anywhere in the world. NWO works with national and international partners to promote the transition to Open Access via initiatives such as the National Plan Open Science ([OCW 2017](#)). In September 2018, NWO also joined cOAlition S, a group of national research funders using Plan S to accelerate the transition to full and immediate Open Access. This policy framework sets out the way NWO will implement the [implementation guidance](#) of [Plan S](#) as published by cOAlition S on 31 May 2019.¹

¹ https://www.coalition-s.org/wp-content/uploads/PlanS_Principles_and_Implementation_310519.pdf

Article 1: Definitions

- 1.1 **Author Accepted Manuscript (AAM):** the version of a publication accepted by the publisher, into which the author has incorporated the changes resulting from the peer review process.
- 1.2 **Policy framework:** the Open Access Policy Framework 2021.
- 1.3 **Call for proposals:** the rules published by NWO for a specific funding round as referred to in Articles 2.1 and 2.2 of the Framework Regulations NWO Grants.
- 1.4 **Directory of Open Access Journals (DOAJ):** database containing a list of Open Access journals and platforms and their publications, as maintained by Infrastructure Services for Open Access C.I.C. and accessible via the website <https://www.doaj.org/>.
- 1.5 **Directory of Open Access Repositories (OpenDOAR):** database containing a list of Open Access repositories, as maintained by the University of Nottingham and accessible via the website <http://www.opendoar.org>.
- 1.6 **NWO:** the Dutch Research Council. For the purposes of this policy framework, “NWO” means the body or official authorised to represent NWO or take the relevant decision under the applicable Authorisation Procedure NWO.
- 1.7 **OAPEN Library:** central Open Access repository for Open Access books, as maintained by OAPEN (Open Access Publishing in European Networks) and accessible via www.oapen.org.
- 1.8 **ESAC Registry:** registry containing a list of Transformative Agreements, as maintained by the Max Planck Society for the Advancement of Science and accessible via the website <https://esac-initiative.org/>.
- 1.9 **Technical guidance and requirements Plan S:** the technical guidance and requirements published by cOAlition S in Plan S, Part III, on 31 May 2019. See: www.coalition-s.org.
- 1.10 **Transformative Agreement:** for the purposes of this policy framework, this means an agreement between the Association of Universities in the Netherlands (VSNU), the Consortium of University Libraries (UKB) or one of its members and a publisher, with a view to Open Access publication of articles, provided the agreement is publicly available and registered in the ESAC Registry.
- 1.11 **Transformative Journal:** a journal that has stated its intention to transition to Open Access and has been recognised by cOAlition S.
- 1.12 **Version of Record (VoR):** the final version of an article as published by a journal.
- 1.13 **Scientific article:** for the purposes of this policy framework, this means all peer-reviewed scientific articles, including review papers and conference papers, that are based on research funded fully or partially by NWO.

Article 2: Application and scope

This policy framework applies to publications resulting from projects funded under calls for proposals opened by NWO on or after 1 January 2021.

Article 3: Scientific articles

All scientific articles resulting from or reporting on research wholly or partly funded by NWO must be made available Open Access immediately (without embargo) online at the time of publication, via one of the following routes:

- 3.1 Publication in an Open Access journal or platform registered in the Directory of Open Access Journals and complying with the relevant technical guidance and requirements of Plan S;
- 3.2 Publication in a closed or hybrid subscription journal and immediate (without embargo) deposition of a copy of the publication (the Version of Record or at least the Author Accepted Manuscript) in an Open Access repository registered in the Directory of Open Access Repositories and complying with the relevant technical guidance and requirements of Plan S;
- 3.3 Publication in a journal for which a Transformative Agreement exists or in a journal that has been accepted by cOAlition S as a Transformative Journal.

Article 4: Academic books, book chapters and edited collections

Books, book chapters and edited collections resulting from or reporting on scientific research wholly or partly funded by NWO and aimed primarily at an academic readership must be made available Open Access online via one of the routes mentioned below. An exception is made in case the book is aimed at a broad, non-academic readership (trade books).

- 4.1 Immediate Open Access publication of a book, book chapter or collection;
- 4.2 Publication of the Version of Record or at least the Author Accepted Manuscript of the book, book chapter or collection via an Open Access repository but at least via the OAPEN Library, as soon as possible but no later than 12 months after the original publication date.

Article 5: Copyright and licences

- 5.1 With a view to the optimal dissemination, use and reuse of the work, researchers or their institutions are not permitted to transfer to the publisher the copyright on publications resulting from NWO funding.
- 5.2 All publications must be published under the Creative Commons Attribution (CC BY) 4.0 licence.
- 5.3 By exception, contrary to Article 5.2, a CC BY-ND (Attribution, No Derivative works) licence may be accepted upon request by the author.
- 5.4 For books, edited collections and book chapters, authors may, contrary to Article 5.2, choose publication under a CC BY-ND, CC-BY-NC (Attribution, Non-Commercial) or CC BY-NC-ND (Attribution, Non-Commercial, No Derivative works) or CC BY-SA (Attribution, Share-Alike) licence.

Article 6: Publication costs

Costs associated with publication in Open Access journals, as referred to in Article 3. Books, as referred to in Article 4.1, are also eligible for payment of costs by NWO.

Article 7: Acknowledgements

Authors should mention the support provided by NWO in each publication, stating the NWO project number and the title of the relevant funding round.

Article 8: Research data

In accordance with NWO's policy on research data, authors should ensure that, as a minimum, the research data underlying the publications are made available as openly and freely as possible via a trusted repository. To this end publications should be accompanied by a data availability statement.

Article 9: Reporting, enforcement and sanctions

- 9.5 In the final reporting, the project leader is required to report on the Open Access availability of publications resulting from the project.
- 9.6 NWO may ask applicants to provide additional assurances regarding the provisions of Articles 3 and 4.
- 9.7 Failure to comply with obligations arising under this policy framework may have consequences for the disbursement of the grant.
- 9.8 If, at the time the grant is disbursed, the publications are not available in one of the routes referred to in Article 3 or 4, the grant will be reduced by 2.5%.

Article 10: Deviation from the policy framework

Deviations from this policy framework are permitted where stated explicitly in a call for proposals.