

# cOAlition S:

## Making full and immediate Open Access a reality

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### Terms of Reference

#### 1. Background

- 1.1 cOAlition S was launched on 4 September 2018 as an informal coalition of organisations that have publicly expressed their intention to implement Plan S.
- 1.2 Plan S requires that 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 or on open access platforms or made immediately available through open access repositories without embargo.

#### 2. Format

- 2.1 cOAlition S is an informal coalition without legal capacity of organisations and institutions that fund and/or perform research activities. A formal association with legal capacity can be founded at a later stage, by decision of the adhering organisations.
- 2.2 Individual organisations remain fully responsible for the implementation of Plan S in their respective jurisdictions.

#### 3. Purpose

- 3.1 To promote the goal of full and immediate open access and increase the number of organisations and gain additional support for cOAlition S.
- 3.2 To promote Plan S in order to gain support from the scientific community and other stakeholders.
- 3.3 To take the necessary steps to implement the principles of Plan S in a coordinated fashion.
- 3.4 To support organisations in implementing Plan S.
- 3.5 To monitor the progress of the transition towards full and immediate open access and the impact of Plan S.

#### 4. Organisations forming cOAlition S

- 4.1 The organisations forming cOAlition S are either
  - Public organisations whose legal mission is to fund and/ or perform research, or

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# Plan S

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- Non-profit organisations (charities, foundations, associations) and international organisations that fund and/or perform research as a significant part of their mission<sup>1</sup>.

#### 4.2 An organisation that wishes to join cOAlition S must:

- Commit to work in a coordinated manner with other organisations towards the implementation of the principles of Plan S;
- Publicly state this commitment.

For the purpose of these Terms of Reference, these organisations will be termed “cOAlition S Organisation(s)” hereafter.

#### 4.3 Procedure for joining cOAlition S:

- Commit to work in a coordinated manner with other cOAlition S Organisations towards the implementation of the principles of Plan S;
- Contact the cOAlition S Office or a member of the Executive Steering Group;
- Await confirmation of approval by the cOAlition S Office or the Executive Steering Group;
- In coordination with cOAlition S, publicly announce their commitment to work in a coordinated manner with other cOAlition S Organisations towards the implementation of Plan S;
- Nominate representatives for Leaders Group, Experts and Communications Groups.

#### 4.4 Procedure for leaving cOAlition S:

- Contact the cOAlition S Office or a member of the Executive Steering Group to initiate the process for leaving cOAlition S
- Within 1 (one) week of receipt of this request, the cOAlition S Office or a member of the Executive Steering Group will contact the Organisation who wishes to leave to arrange a call to discuss and agree a date when this will be effective from and how best this will be communicated
- To ensure that sufficient time is given to prepare the relevant communications, update the web site etc, a minimum of 4 (four) weeks must be given between contacting a member of the ESG with a notice of leave and making a public statement about leaving cOAlition S.
- Any funding commitments which have been made in terms of supporting the cOAlition S Office will be managed in accordance with the relevant Collaboration Agreement.

## 5. Governance and organisational structure

### 5.1 cOAlition S Leaders Group

#### 5.1.1 Composition

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<sup>1</sup> Other types of organisations who wish to follow the Plan S principles are invited to do so and to inform cOAlition S. They will be listed as cOAlition S supporters.

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- One representative of each cOAlition S Organisation, at the highest decision-making level (Presidents, Chairs, Chief Executives, designated Board or Council member)
- Chair: President of Science Europe, who may delegate this task to another Leader (i.e. another Representative of a cOAlition S Organisation)

## 5.1.2 Role

- Approve the strategy to support Plan S as developed by the Executive Steering Group;
- Take all major decisions regarding Plan S principles, including approving any amendments and providing guidance on their implementation;
- Approve all changes to these Terms of Reference
- Appoint the Executive Director and the Executive Steering Group for a (renewable) term of office of one year; the recruitment of the Executive Director can be delegated to a search/nomination committee appointed by the Chair of the Leaders Group.
- Approve budget of cOAlition S Office, communication plans, etc.

## 5.1.3 Other

- The Leaders Group takes decisions by consensus. If a consensus cannot be reached, decisions are taken by a majority vote. The Chair has the deciding vote in the event of deadlock.
- Members of the Executive Steering Group attend meetings of the Leaders Group in an advisory role.
- The Chair can invite other individuals in an advisory or observer role to meetings of the Leaders Group.
- Further rules of procedure are set out in a separate regulation.

## 5.2 Executive Director and cOAlition S Executive Steering Group

### 5.2.1 Executive Director for cOAlition S

- The Executive Director for cOAlition leads the Executive Steering Group and is responsible for developing strategic input; He/She acts as the main spokesperson for cOAlition S, liaises with the Expert group, the Ambassador Network, and with other stakeholder groups, and promotes Plan S in order to gain support from new organisations. With the support of the Programme Manager, the Executive Director develops and supervises the implementation of the cOAlition S office workplan.

### 5.2.2 Composition of the cOAlition S Executive Steering Group

- Chair: the Executive Director for cOAlition S
- Secretary: cOAlition S Programme Manager
- Chair of Leaders Group

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- Up to 5 other members of the Leaders Group or persons designated on behalf of Leaders Group members
- Chair of the Experts Group
- cOAlition S Head of Strategy
- The Chair can invite other individuals (e.g. Chairs of Task Forces) in an expert/observer role to assist the Executive Steering Group
- The CEO of the European Science Foundation (ESF) and the Secretary-general of Science Europe sit on the Executive Steering Group as observers

## 5.2.3 Role

- Coordinate, implement and execute cOAlition S strategy, time plan and resources;
- Communicate to the outside on behalf of cOAlition S;
- Liaise with other relevant stakeholders and organisations;
- Promote Plan S and recruit additional Organisations and support for cOAlition S.
- Approve the establishment of new Task Forces or other working groups as appropriate and appoint their members;
- Approve agenda for Leaders Group meeting
- Oversee the cOAlition S Office
- Have final approval on the appointment of the cOAlition S Programme manager
- Develop an annual budget and consider and approve spending commitments resulting from calls for tender and follow-up on contract execution.

## 5.2.4. Other

- The Executive Steering Group takes decisions by majority. The Chair has the deciding vote in in the event of deadlock.
- Reports to the cOAlition S Leaders Group.
- Further rules of procedure can be developed if required.

## 5.3 cOAlition S Office

- The cOAlition S Office is set up to support the Executive Steering Group, the Expert group and Task Forces. It implements joint programmes and projects of cOAlition S Organisations and organises funding streams; it contracts on behalf of cOAlition S.
- The cOAlition S Office also takes the lead in all communication of cOAlition S policies, including answers to queries, the cOAlition S website etc.
- The cOAlition S Office is hosted by European Science Foundation (ESF) and is funded by a subgroup of cOAlition S Organisations, acting in their individual capacities for this purpose via a

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multi-party MoU with ESF into a central budget. This budget will be approved annually by the Leaders Group and then used by ESF, reporting to and managed by the Executive Steering Group.

- The ESF provides the legal entity to the cOAlition S Office, therefore represents cOAlition S in all contractual matters, including for Human Resources.
- The cOAlition S Office is led by the cOAlition S Executive Director and by the cOAlition S Programme Manager and supported by the cOAlition S Head of Strategy.

## 5.4 cOAlition S Expert Group

### 5.4.1 Composition

- One individual per cOAlition S Organisation with expertise in open access, scholarly communications, publishing, etc. To be appointed by each cOAlition S Organisation organization.
- The Executive Steering Group nominates a Chair among the appointed members of the Expert Group, for a (renewable) term of office of 1 year

### 5.4.2 Role

- Experts provide expertise and input to all questions and proposals submitted to them by the Executive Steering Group
- On their own initiative, make proposals to the Executive Steering Group
- Lead/Support in Taskforces or other projects to further the success of Plan S work
- Support and brief their senior representatives and liaise with other parts of their organisation involved in the implementation of Plan S.
- Be consulted by the Task Force and any working group, when relevant.
- Further rules of procedure can be developed if required, subject to approval by the Executive Steering Group.

## 5.5 cOAlition S Task Forces

### 5.5.1 Composition

- Up to 10 individuals, with relevant expertise for the development of proposals approved by the cOAlition S Executive Steering Group.
- Membership predominantly sourced from the Expert Group, though other (non-cOAlition S) experts can be appointed

### 5.5.2 Role

- Develop proposals based on specific topics (e.g. implementation guidance, OA monographs, OA platforms etc) in line with the Plan S Principles.

### 5.5.3 Other

- The Chair has final decision-making authority

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- Reports to the cOAlition S Executive Steering Group.
- Task Force outcomes which have a significant impact on the implementation of Plan S must be approved by the cOAlition S Leaders Group
- Further rules of procedure can be developed if required, subject to approval by the Executive Steering Group.
- A Task Force only exists for duration necessary to accomplish the specific project that it has been assigned to by the cOAlition S Executive Steering Group.

## 5.6 cOAlition S Communications Group

### 5.6.1 Composition

- One communications officer per cOAlition S Organisation. To be appointed by each cOAlition S Organisation.

### 5.6.2 Role

- Act as contact point for any Plan S and/or cOAlition S communications activity and disseminate information to the scientific and stakeholder communities relevant to their organisation.
- Further rules of procedure can be developed if required, subject to approval by the Executive Steering Group

## 5.7 cOAlition S Ambassador Network

### 5.7.1 Composition

- A small number (up to 15) of high-profile “Ambassadors”, from different research disciplines, geographies and career stages

### 5.7.2 Role

- To act as local points of contact and, as appropriate, suggest key stakeholders the cOAlition S should seek to engage with.
- To have conversations with their peers about Plan S, with the aim to help them understand the aims and objectives behind this initiative.
- To listen to the concerns voiced by the community about Plan S, and relay these back to the Executive Steering Group.

### 5.7.3 Other

- Plan S Ambassadors will be appointed by the Executive Steering Group for a period of three years, with opportunity for renewal.
- Plan S Ambassadors are volunteers – and are not financially compensated.
- Plan S Ambassadors report to the Executive Steering Group and work closely with the Executive Director for cOAlition S

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## Rules of Procedure for cOAlition S Leaders Group meetings

### Meetings of the Leaders Group

1. A regular meeting shall take place at least once a year, normally twice a year.
2. The meetings shall be called by the Chair.
3. The meetings may be held in Brussels or another venue proposed by the Chair. Meetings can also be held by videoconference.

### Notice, agenda and supporting documents

4. The agenda is decided by the Executive Steering Group.
5. The notice, indicating the place, date, hour and agenda of the meeting sent to all cOAlition S Organisations by e-mail, at least two weeks prior to the date of the meeting.
6. Supporting documents are sent to all cOAlition S Organisations as soon as practicable, but at least one week before the meeting.

### Representation and Observers

7. cOAlition S Organisations must be represented by a duly authorized individual, normally at their top decision-making level. The designated Representative must be fully empowered to represent the organisation and to vote on all matters.
8. A Representative who is unable to attend can give a proxy to another Representative of his/her organisation or to the Representative of another member organization to vote on their behalf.
9. Members of the cOAlition S Executive Steering Group are invited to attend the meeting in an advisory (non-voting) role.
10. The Chair may invite other individuals to attend a meeting in full, or for specific agenda items, in an advisory (non-voting) role.

### Proceedings

11. The powers of the Leaders Group are detailed in Article 5.1.2 of the cOAlition S Terms of Reference.
12. The Chair of the meeting shall declare the opening and closing of the meeting, shall direct the discussion, ensure observance of these Rules, accord or withdraw the right to speak, put questions to the vote and announce decisions. The Chair, subject to these Rules, shall have control of the proceedings for the meeting and over the maintenance of order thereat. He/she shall rule on points of order and shall, in particular, have the power to propose adjournment or closure of debate, or adjournment or suspension of a meeting.
13. The Leaders Group seeks to take decisions by consensus. If a consensus cannot be reached, decisions are taken by a majority vote. Each cOAlition S Organisation Representative has one vote. Abstentions shall not be taken into account. The Chair has the deciding vote in the event of deadlock. All votes will be taken by a show of hands, unless at least two members request a secret and written ballot.

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## Minutes

14. The cOAlition S Office shall ensure the taking of minutes.
15. The draft minutes will be circulated to all representatives as soon as possible after the end of the meeting and no later than 15 days from the conclusion of the meeting, either by letter, facsimile, or any other written means (including e-mail). Members have 15 days to respond with proposals for amendments.
16. Approval of the final minutes may take place by circular letter (including e-mail).

## Decisions by circular letter

17. The Leaders Group may also be taken decisions by circular letter (including e-mail).

## Amendments to these Rules of Procedure

18. The Leaders Group may amend these Rules of Procedure by a simple majority vote.

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