

The background features a collection of line-art icons in grey and orange. These include a laptop with a graph on its screen, a cloud with a downward arrow, a network diagram with a central node and several peripheral nodes, a hard drive, a padlock, a globe, a magnifying glass, a clock, a gear, and a hand holding a pen. There are also mathematical symbols like a plus sign and a multiplication sign scattered throughout.

Plan S: toward full and immediate open access

an inclusive approach

UCT-SPARC Africa symposium 2019

Neil Jacobs

Slides last updated: 28th Nov 2019

Agenda

- ⊙ **Plan S: what and why**
- ⊙ **cOAlition S; who is involved**
- ⊙ **Plan S: overview**
- ⊙ **Challenges**
- ⊙ **Opportunities**
- ⊙ **Questions**



Plan S – what, and why?



What is Plan S?

- ⦿ Plan S is:
 - ⦿ A set of **principles**
 - ⦿ Implementation **guidelines**
- ⦿ For research funders (*“cOAlition S”*)
- ⦿ To align their OA policies (*articles and books*)
- ⦿ And make them more effective
- ⦿ Basis for research funders to collaborate with others

<https://www.coalition-s.org/>



Why Plan S? Overview

“Science, as an institution of organised criticism, can... only function properly if research results are made openly available to the community so that they can be submitted to the test and scrutiny of other researchers”

For funders, this is about:

- *better research*
- *more return on our investment in research*
- *greater transparency in research communication.*

It is then about the cost-effectiveness of the transition, but funders are often not the primary economic actors here.



But we are starting from different places...

- Diverse landscape, with national journals, continent-wide platforms, institutional repositories...
- Long tradition of academic-led, OA publishing, often funded directly as part of academic practice
 - Open, but often excluded from ‘global’ indexes, and hence from common quality/impact indicators
- Long tradition of largely out-sourcing publishing to subscription-based publishers, funded by libraries
 - To transition, tried hybrid journals...

“...that transition has stalled”

Johan Rooryck, cOAlition S OA Champion



But we are starting from different places...

- Diverse landscape, with national journals, continent-wide platforms, institutional repositories... **66%**
- Long tradition of academic-led, OA publishing, often funded directly as part of academic practice **49%**
 - Open, but often excluded from 'global' indexes, and hence from common quality/impact indicators
- Long tradition of largely out-sourcing publishing to subscription-based publishers, funded by libraries **44%**
 - To transition, tried hybrid journals...

“...that transition has stalled”

Johan Rooryck, cOAlition S OA Champion

cOAlition S



cOAlition S: who?

National European funders:

- ⊙ Austria: FWF
- ⊙ Finland: AKA
- ⊙ France: ANR
- ⊙ Ireland: SFI
- ⊙ Italy: INFN
- ⊙ Luxembourg: FNR
- ⊙ Netherlands: NWO
- ⊙ Norway: RCN
- ⊙ Poland: NCN
- ⊙ Slovenia: ARRS
- ⊙ Sweden: FORMAS, FORTE, VINNOVA
- ⊙ UK: UKRI



European funders:

- ⊙ European Commission
- ⊙ Including European Research Council

Charitable foundations:

- ⊙ The Wellcome Trust
- ⊙ The Bill & Melinda Gates Foundation
- ⊙ Aligning Science Across Parkinson's

Global dimension

- ⊙ World Health Organisation + TDR
- ⊙ Jordan: HCST
- ⊙ Zambia : NSTC
- ⊙ South African Medical Research Council
- ⊙ African Academy of Sciences

Sao Paulo Statement : AmeLICA, SciELO, African Open Science Platform, OA2020, cOAlition S

Coordinated action with OA2020

Coordinated action with COAR

Plan S overview

Principles
Guidelines



Plan S : Built on strong principles

- ⊙ **No** publication should be locked behind a **paywall**
- ⊙ OA must be **immediate**, *i.e.* no embargo periods
- ⊙ **No copyright transfer**; publication under a **CC BY license** by default
- ⊙ **Transparency** about pricing and contracts
- ⊙ Funders commit to support **publication fees** at a **reasonable** level
- ⊙ **Multiple routes** to OA compliance
- ⊙ Commitment to assess research outputs based on their **intrinsic merit** and NOT venue of publication

Plan S : Built on strong principles

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Because paywalls exclude those unable to pay
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Because embargoes mean those who can't pay have to wait
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Because this enables translation, eg to / from English
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- ⊙ **Transparency** about pricing and contracts
Because there could be unfairness in what people are paying
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Individual authors do not pay. Let's talk about what this means...
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Gold, Green, Diamond.... flexibility leads to inclusiveness
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 - ⊙ Commitment to assess research outputs based on their **intrinsic merit** and NOT venue of publication
- Corrosive effects of bad research evaluation, everywhere**

Implementation guidance – mandatory

Overall

- ⊙ Full and immediate OA
- ⊙ Reader rights: CC-BY, CC0 or CC-BY-SA. (-ND)
- ⊙ Author rights: rights retention by author / institution

Technical guidance for all venues

- ⊙ Open information on editorial / review (eg COPE guidelines)
- ⊙ Use of persistent identifiers, metadata, preservation, OA status / licence
- ⊙ Registration in DOAJ, OpenDOAR...
- ⊙ Transparent pricing



Multiple routes to compliance

<https://www.coalition-s.org/principles-and-implementation/>

	Open Access publishing venues (journals or platforms)	Subscription venues (repository route)	Transition of Subscription venues (transformative arrangements)
Route	Authors publish in an Open Access journal or on an Open Access platform.	Authors publish in a subscription journal and make either the final published version (Version of Record (VoR)) or the Author's Accepted Manuscript (AAM) openly available in a repository.	Authors publish Open Access in a subscription journal under a transformative arrangement.
Funding	cOAlition S funders will financially support publication fees.	cOAlition S funders will not financially support "hybrid" Open Access publication fees in subscription venues.	cOAlition S funders can contribute financially to Open Access publishing under transformative arrangements.

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Funding	<p>cOAlition S funders will financially support publication fees.</p>	<p>cO not "hybrid" Open Access publication fees in subscription venues.</p>	<p>Open Access publishing under transformative arrangements.</p>

Multiple routes to com

<https://www.coalition-s.org/principles>

'Publication fees':

- APCs
- Submission fees
- Providing publishing platforms
- Contribution to diamond journals – *to be agreed*
- Etc...

cOAlition S funders already support non-APC models

	Open Access publishing venues (journals or platforms)		
Route	Authors publish in an Open Access journal or on an Open Access platform.	Author's Accepted Manuscript (AAM) or the Author's Accepted Manuscript (AAM) openly available in a repository.	
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Compliance

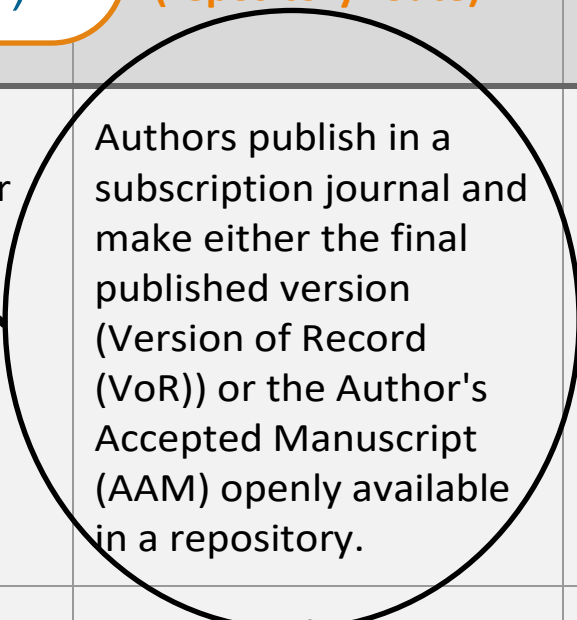
Challenges-and-implementation/

Full and immediate OA via Green...

- Some publishers already allow
- Negotiate hard with others
- Retain rights...

Improve repositories (with COAR)

	Open Access platforms	Subscription venues (repository route)	Transition of Subscription venues (transformative arrangements)
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No APCs in hybrid journals

Multiple routes to compliance

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	<p>Transformative agreements</p> <p>ESAC guidelines: temporary, rights, transparency, cost constraint, workflows</p> <p>Model agreement for society publishers</p>		
	<p>Transformative journals</p> <p>Consultation out now; please respond</p>	cOAlition S funders will financially support the transition of Open Access publishing in subscription venues.	cOAlition S funders can contribute financially to Open Access publishing under transformative arrangements.

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“cOAlition S funders **can** contribute financially...”

Should reduce costs as subscription money moves to more transparent OA publishing services

cOAlition S funders can contribute financially to Open Access publishing under transformative arrangements.

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Price transparency



Some challenges

...relevant to social justice and equity

- Equal access to knowledge production and dissemination
 - rights of researchers, publics, patients...
- Cost of investment in any transition
 - Capacity of library, institutions, consortia and publishers
 - negotiations, infrastructure...
- Researcher experience
 - publishing options for authors / research evaluation
 - prestige, careers, academic freedom and responsibilities
- Cost (re)distributions:
 - between different kinds of institution, country, etc



Some more challenges

- Diversity: Supporting those with different models (geographies, economics, cultures, disciplines...)
 - And innovation (SciPost, PubFair...)
- Alignment and coordination
 - of funder and institutional policies
 - internationally between consortia, between consortia and funders, and between funders, between institutions, across disciplines...



Opportunities

Economic realities have made open access difficult

Working together, as research funders,
institutions, libraries and researchers, we
can change those realities



Thank you
We are listening

