Plan S: toward full and immediate open access

an inclusive approach

UCT-SPARC Africa symposium 2019

Neil Jacobs

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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
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  Johan Rooryck, cOAlition S OA Champion
cOAlition S
### 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

- No publication should be locked behind a paywall. Because paywalls exclude those unable to pay.
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Plan S : Built on strong principles

- **No** publication should be locked behind a **paywall**
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  *Because this enables translation, eg to / from English*

- **Transparency** about pricing and contracts

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- **Multiple routes** to OA compliance

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  - 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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- **Multiple routes** to OA compliance
  - Gold, Green, Diamond…. flexibility leads to inclusiveness
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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/

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| Funding                                    | cOAlition S funders will financially support         | cOAlition S funders will not financially  | cOAlition S funders can contribute financially to             |
|                                            | publication fees.                                    | support "hybrid" Open Access publication | Open Access publishing under transformative arrangements.     |
|                                            |                                                      | fees in subscription venues.             |                                                               |
|                                            |                                                      |                                        |                                                               |
# Multiple routes to compliance

[https://www.coalition-s.org/principles-and-implementation/](https://www.coalition-s.org/principles-and-implementation/)

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**Redalyc and Scielo journals**

- 262 OA journals on AJOL
- PLOS One
- eLife
- Nature Communications
- Gates Open Research platform

...
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### ‘Publication fees’:
- APCs
- Submission fees
- Providing publishing platforms
- Contribution to diamond journals – *to be agreed*
- Etc…

cOAlition S funders already support non-APC models
## Multiple routes to compliance

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### Compliance

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**Full and immediate OA via Green…**
- Some publishers already allow
- Negotiate hard with others
- Retain rights…

**Improve repositories (with COAR)**

- Some publishers already allow
- Negotiate hard with others
- Retain rights…
- Improve repositories (with COAR)
## Multiple routes to compliance

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*No APCs in hybrid journals*
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Transformative agreements
ESAC guidelines: temporary, rights, transparency, cost constraint, workflows
Model agreement for society publishers

Transformative journals
Consultation out now; please respond
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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