

Guidance on the Implementation of Plan S Feedback Questions from INFN

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1. Is there anything unclear or are there any issues that have not been addressed by the guidance document ?

[Large collaborations] Authors working in large international collaborations may face the problem of being funded by cOAlition S funders, in a group of non cOAlition S funders. There may be the case that the majority of collaborators decide not to post the AAM on certified repository with zero embargo (Route 2). Conversely, they may chose to publish on hybrid journal, and refuse authorship for coauthors that are forbidden to pay their share of APC by their funder.

[Freedom of research] Authors are not free to choose the journal they want. This is a limit to freedom of research.

[Copyright] Journals may demand to sign of a Copyright transfer agreement after acceptance and before publication. If authors do not sign, they will not publish the paper. If the authors sign, they may be retroactively forbidden to post the AAM and could be asked to remove it for the certified repository with zero embargo.

[Research assessment] The Italian research assessment system for University careers (ASN) and for University ranking (VQR) is based on bibliometry. Parameters such as IF and h index may be reduced for authors whose Institute is a cOAlition S funder. This has relevant limitations on the acceptance of Plan S.

[arXiv] arXiv is a leading subject repository in physics. As it is now, it does not meet the requirements for cOAlition S certified repository. Does cOAlition S have plans about that ?

[Mixed affiliations] In large collaborations is quite frequent to have authors with two affiliations. A large fraction of Italian authors in High Energy Physics

is employed by University and associated to INFN. The former have not joined cOAlition S, the latter have. How are similar cases dealt with ?

[Verification] Who (and how) will verify that member funders will obey the Plan S ten principles ? Will a specific software be run to check that papers with authors from cOAlition S funders indeed appear on OA journals or platforms ?

2. Are there other mechanisms or requirements funders should consider to foster full and immediate Open Access of research outputs ?

[APC and market] Once the system is changed to APC, it will be impossible to moderate it with caps since it will evolve dynamically. Plan S implementation guide states the funding of working groups dedicated to the study of economic implications of a switch to APC market. How and when will this be implemented ? Are there results of this study ? Shouldn't results be available well before 2020.01.01 ?

[Support of repositories] The role of institutional, certified repositories is crucial for Route 2. Plan S declares support for repositories. Will cOAlition S provide fresh funds to develop repositories ?

[University press] Some University press establishments consider themselves as special publishers in the scientific publications scenario. Plan S considers them at the same level as for-profit, commercial publishers. Did Plan S consider the issue ?