Plan S implementation by institutions and libraries

OAI11 workshop

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Agenda

9:00   Introduction

9:15   Plan S in general (plenary)

10:10   Coffee break & find groups

10:20   Explore topics: Plan S in institutions and libraries
               (work in groups)

11:05   Break

11:10   Group work presentation (rotate among groups)

11:50   Final comments (plenary)

12:00   Lunch !

Overview of types of open access

| type	preprint	gold (incl. diamond)	hybrid-gold	green
who?	author	publisher	publisher	author
where?	preprint archives	~10K open access journals	many subscription journals	institutional / subject repository
when?	before/around submission to jrnl.	simultaneous with publication	simultaneous with publication	upon acceptance, but often embargo
costs?	free	0-4000 USD	~1000-6000 USD	free
fulfill funder req.?	mostly not	always, but (possibly) affected now	always, but discussed now	often, but often not if embargoed
funding	n.a.	sometimes funder, UU OA fund 50%	sometimes funder / included in big deals	n.a.
license/copyright	choose CC-license, copyright retained	choose CC-license, often keep copyright	often CC in exclusive license for publisher	often none?

Plan S and cOAlitionS
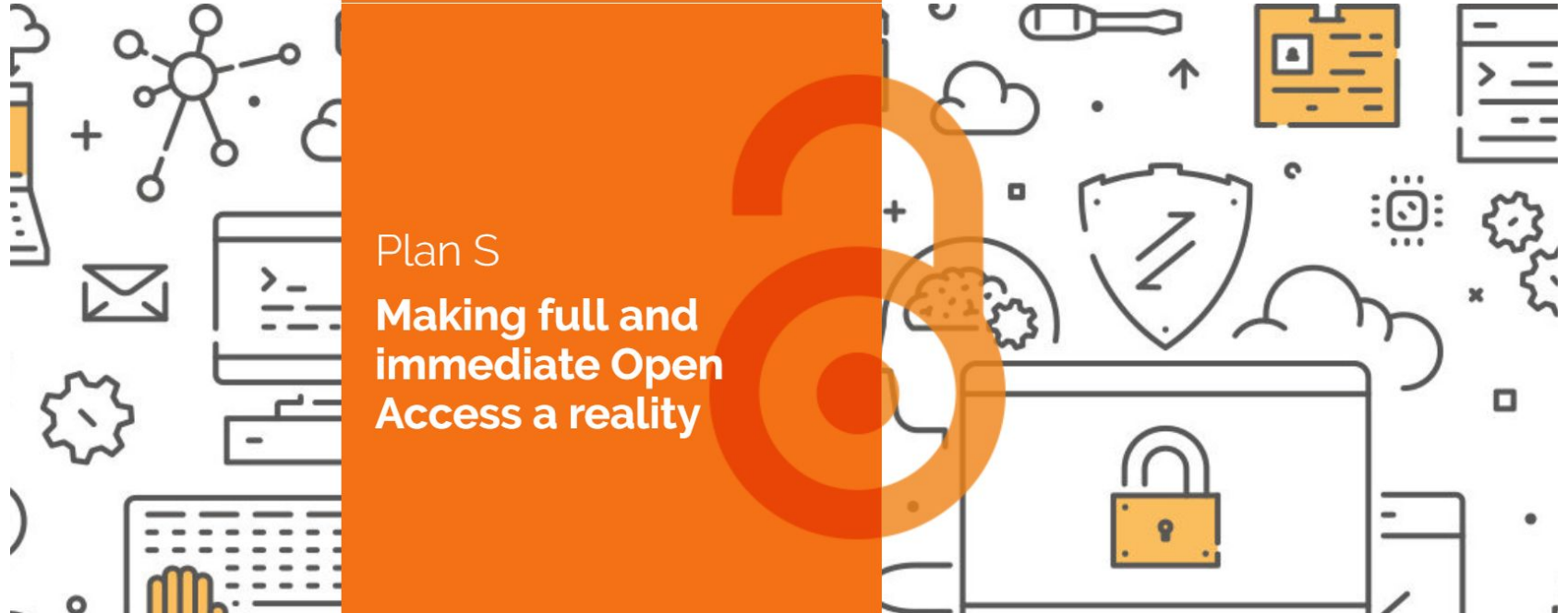
Plan S: main principle

"With effect 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, on Open Access Platforms, or made immediately available through Open Access Repositories without embargo."

cOAlition S: who is part of it?

National funders

FWF Der Wissenschaftsfonds.

ACADEMY OF FINLAND

Agence Nationale de la Recherche ANR

Science Foundation Ireland For what's next sfi

INFN Istituto Nazionale di Fisica Nucleare

Luxembourg National Research Fund

NWO Netherlands Organisation for Scientific Research

The Research Council of Norway

NATIONAL SCIENCE CENTRE POLAND

arrs SLOVENIAN RESEARCH AGENCY

FORTE: Swedish Research Council for Health, Working Life and Welfare

FORMAS

UK Research and Innovation

NSTC

VINNOVA Sweden's Innovation Agency

Charitable foundations

wellcome

BILL & MELINDA GATES foundation

Compagnia di San Paolo

European funders

erc European Research Council

Plan S: characteristics

- A plan by research funding organizations to speed up the transition to 100% OA
- 19 organizations: 16 national, 3 charitable; supported by EU and ERC
- Main goal: all articles immediately OA, with open license and copyright retention
- Means: require **publication in venues/journals that are fully OA or immediate self-archiving in repositories**
- Exceptions:
    - policy not yet applicable to chapters and books
    - hybrid in transformative arrangements will be allowed
- Funders will adapt evaluation criteria in spirit of DORA declaration, moving away from journal-based metrics

Plan S compliance of publications: the 3 routes

	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.
	= full gold (incl. diamond)	= green (self archiving)	= hybrid

Requirements for all routes:
- immediate OA (upon publication)
- CC-BY(SA) license (funders can allow ND for individual articles)
- full copyright retention by author or institution

Working towards Plan S compliance: many options

full gold (incl. diamond)

existing/new APC gold journal / platform

existing/new non-APC gold journal / platform (diamond)

flipping journals to APC gold (by publishers/editors)

flipping journals to non-APC gold (diamond) (by publishers/editors)

hybrid

hybrid journal in transformative (model) agreement or transformative journal

OA in hybrid journal & self-archiving the published paper

green (self archiving)

archiving publisher version, upon publication

archiving accepted manuscript (AAM) upon publication

sharing preprints and using overlay PR ?

Working towards Plan S compliance: many options
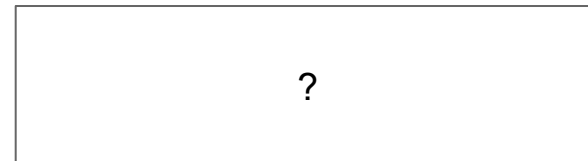
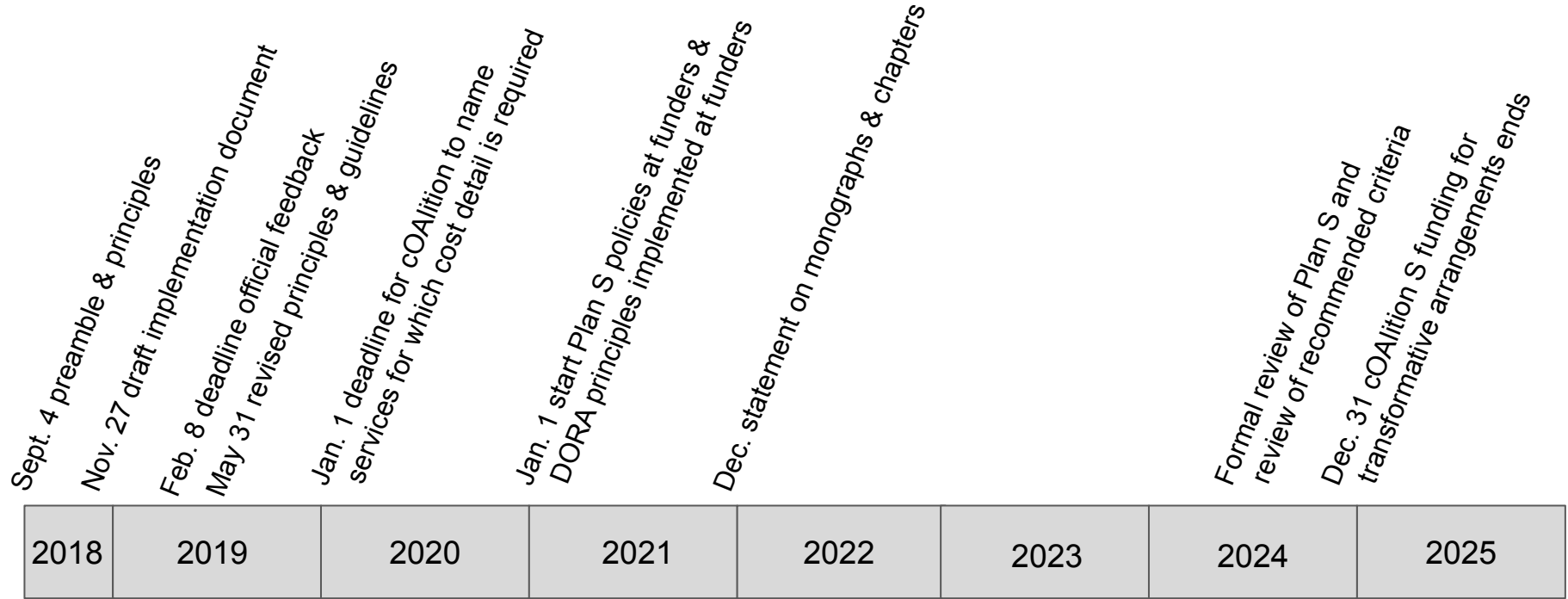| full gold (incl. diamond)	hybrid	green (self archiving)
Collabra: Psychology — Journal of Cheminformatics	vsnu — edp sciences — OpenEdition *	?
Open Library of Humanities	many hybrid journals	THE ROYAL SOCIETY
nature COMMUNICATIONS — QSS		Discrete Analysis
SCOAP³		
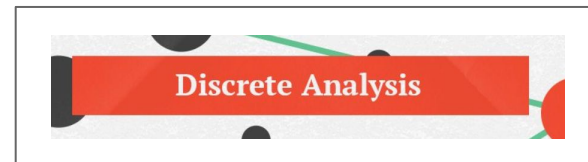
* OpenEdition is not a flip from hybrid but from closed journals with a moving wall

Implications for researchers: what happens next?

- Will more funders join cOAlition S?

- Will publishers adapt? (If not: limited publication venues)

  - Will publishers allow full copyright retention and CC0 / CC-BY / CC-BY-SA (or ND)?

  - Will publishers allow immediate green self archiving? (At what cost?)

  - OR: will publishers switch to full and compliant Open Access journals?

- Will new venues be created and adopted by researchers?

- Will institutions succeed in negotiating transformative agreements?

- Will institutions also implement the principles of Plan S?

- Will funders, institutions move forward with adapting evaluation criteria?

Timeline Plan S [updated]

Sept. 4 preamble & principles

Nov. 27 draft implementation document

Feb. 8 deadline official feedback

May 31 revised principles & guidelines

Jan. 1 deadline for cOAlition to name services for which cost detail is required

Jan. 1 start Plan S policies at funders & DORA principles implemented at funders

Dec. statement on monographs & chapters

Formal review of Plan S and review of recommended criteria

Dec. 31 cOAlition S funding for transformative arrangements ends

2018	2019	2020	2021	2022	2023	2024	2025

It is up to individual funders to start the policy with either new calls, new grants or also ongoing grants

Implications for researchers: disciplinary differences

- many journals of smaller publishers & societies not in transformative agreements
- APCs higher in some disciplines (esp. medical/technical)
- embargoes longer in some disciplines (esp. humanities)
- OA for books very relevant for humanities and parts of social sciences; complex but developing area; not yet required by Plan S
- available funding lower in some disciplines (esp. humanities)
- differences in sharing culture (compare Physics-Chemistry)
- preprint archives available for most but not all disciplines
- in some fields concentration of journals at one or a few (society) publishers
- varying number of co-authors from different institutions/countries

Reception of Plan S

- Since its launch 8 funding organizations joined cOAlition S
  - National funders: e.g. Forte, Formas and funder from Zambia and Jordan
  - Charitable funders: e.g. Gates Foundation, Wellcome
- Support inside and outside Europe
  - Support from ERC and EU
  - Support from LERU, EUA, YERUN, VSNU, COAR
  - China expressed support, India and Argentina consider joining
  - Support from full OA publishers and their associations
- Criticism
  - Germany, Switzerland, Spain, Belgium have not joined yet, for varying reasons
  - Very critical reception from many learned societies
  - Criticism from Latin-American OA publishing organizations (Amelica)
  - Critical reception from legacy publishers and their associations
- Mixed reception from researchers ….

Frequently mentioned issues in comments/feedback

- Implementation period too short

- Limiting choice of journals and licences, or even limiting academic freedom

- Expected problems in collaboration with non-cOAlition S funded researchers

- Being able to publish in certain journals is crucial for young researchers' careers

- Draining income of learned societies

- Humanities scholars point at potential downsides of CC-BY license

- Too much dependence on APC model:

  - barrier for underfunded researchers

  - incentive to publish looking at quantity and less at quality

Adaptations of Plan S based on feedback

- Implementation date postponed until January **2021**

- Funders can allow **CC-BY-ND** licenses on a case by case basis

- Next to transformative agreements now also 2 other **transformative arrangements**

- Publishing in journals in transformative agreements **also compliant after 2024**

- Required **transparency on costs and prices** of publishing services

- Some **technical criteria now a 'recommendation'** instead of requirement

- **Assessment on intrinsic merit** instead of publication channel now a full principle

See also the "Rationale for the Revisions Made to the Plan S Principles and Implementation Guidance"

Rationale for the Revisions Made
to the Plan S Principles and
Implementation Guidance

Plan S: two documents

Why: a preamble with the why and general goals and context, including the commitment to change the evaluation system

What & How: a document with 10 Principles and the Guidance on the Implementation of Plan S
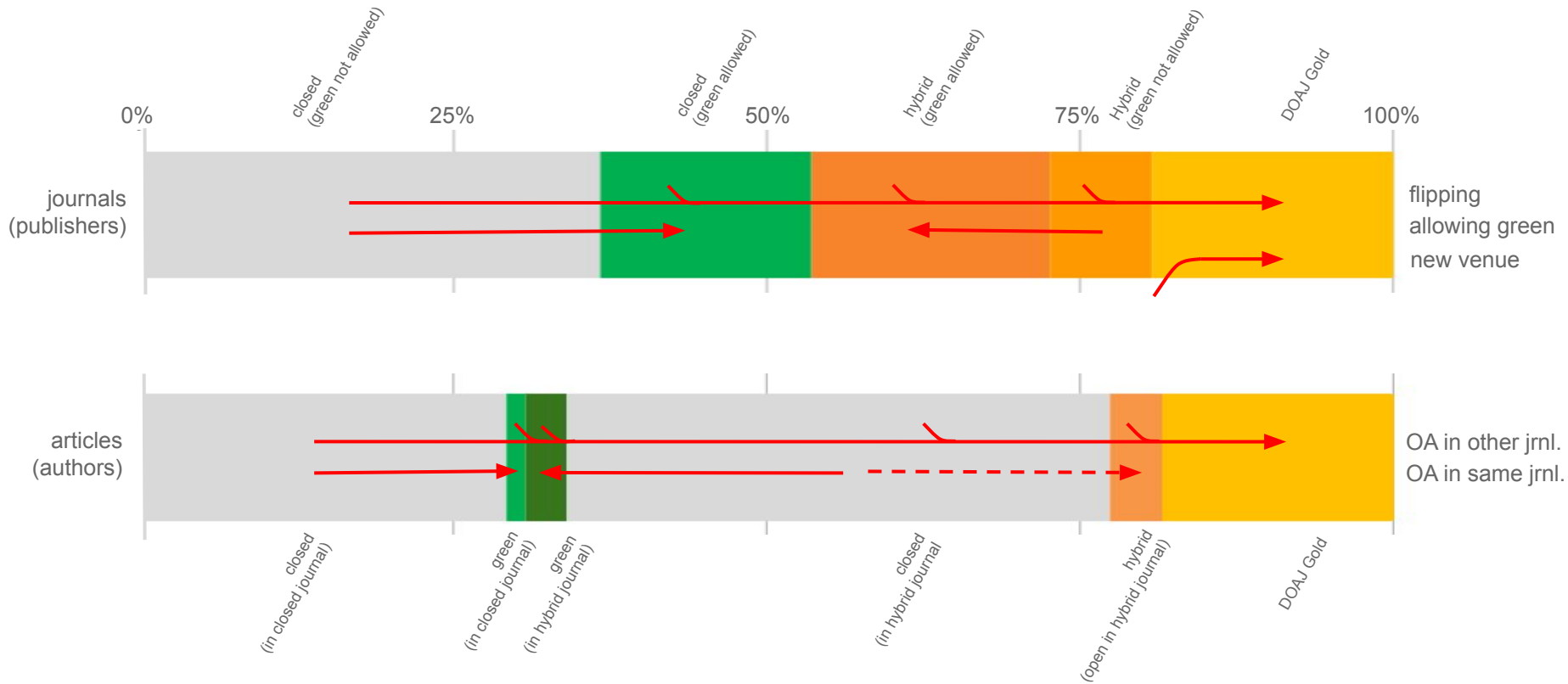
Plan S changes: overview by SPARC Europe

An analysis of the new revised Plan S policy
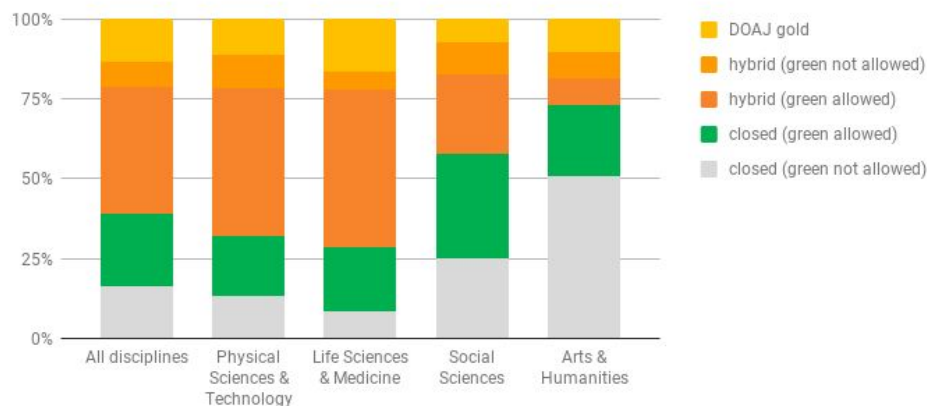
Conducted by SPARC Europe | June 2019
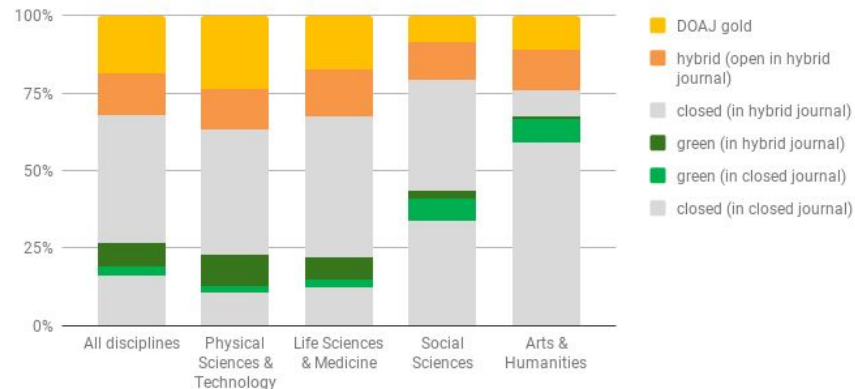
Ways to increase Plan S compliance

Potential, uptake and gaps per discipline in NL

see also: https://101innovations.wordpress.com/2018/12/05/oa-potential-journals-and-publications-across-disciplines/

Nine routes towards Plan-S compliance (based on the [20190531 guidance document](#))
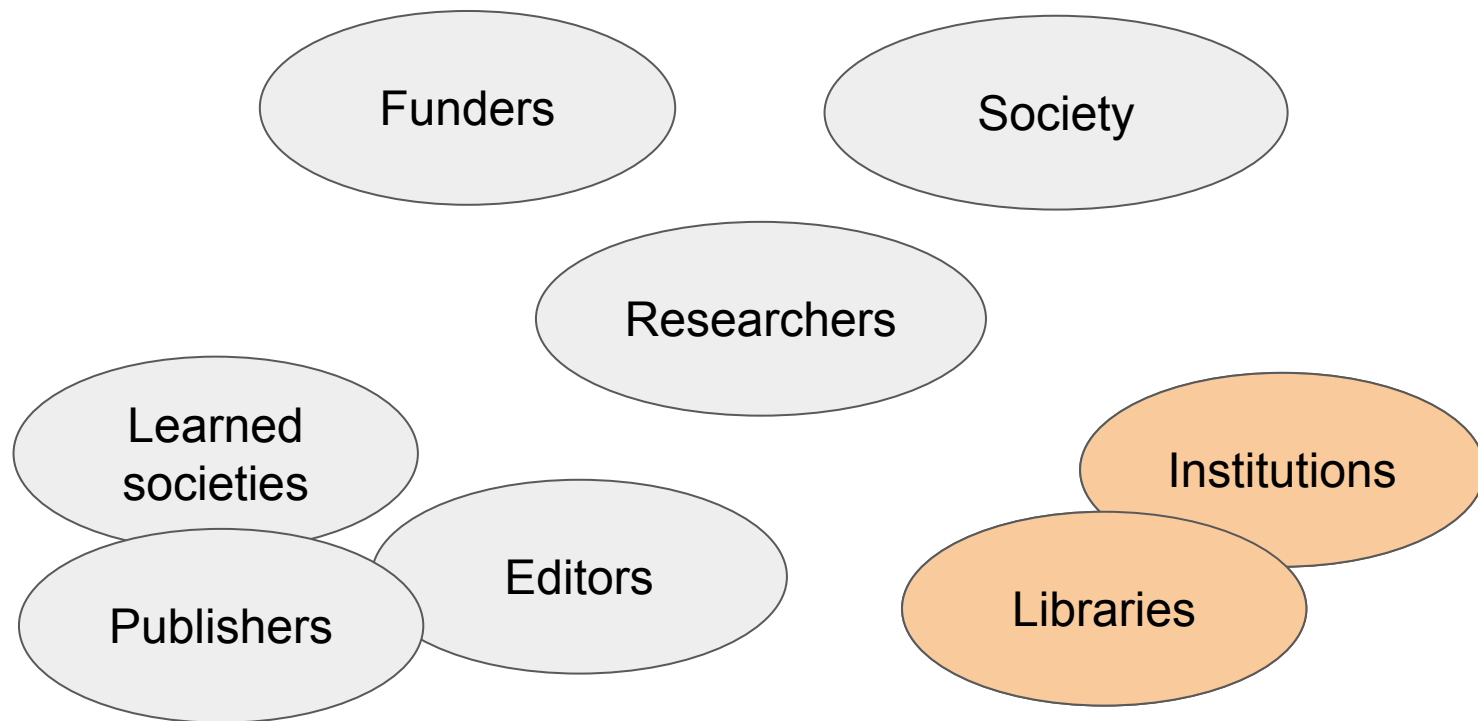
routes to Plan S compliance	A. existing/new APC gold journal / platform	B. existing/new non-APC gold journal / platform (diamond)	C. flipping journals to APC gold (by publishers or editors)	D. flipping journals to non-APC gold (diamond), by publishers or eds.	E. hybrid journal in transformative (model) agreement / transformative jrnl.	F. CC-BY(-SA)[1] OA in hybrid journal & self archiving the published paper	G. archiving publisher version, on publication, CC-BY(-SA)[1]	H. archiving AAM, on publication, CC-BY (-SA)[1]	I. sharing preprints and using overlay PR
1. compliant?	yes	yes	yes	yes	yes	yes	yes	yes	unsure
2. example(s)	PLoS, 1000s more	Open Library of Humanities, 1000s more	Epidemiology & Infection, 100s more	Scoap[3]	agreements listed at esac-initiative.org	all hybrid journals allowing CC-BY(-SA)[1]	(MNRAS, APS journals)[1]	Royal Society, (Emerald / Sage journals[2])	Discrete Analysis /
3. current use / availability	sizeable amount	limited	very limited	very limited	(agreements:) yes, in some countries	sizeable amount	limited	limited	very limited
4. effect on publishers	gold publ. win, evt. decreasing subscriptions	more competition / perhaps evt. decreasing subscriptions	change in business model / probl. for high rejection	new partnerships or loose journals to funders/institutions	need to negotiate transformative arrangement (not for transformative jrnls)	journals keep role if CC-BY(-SA)[1] is allowed	evt. decreasing subscriptions, need to solve sustainability?	keep large part of perceived value	change publishing model or loose out
5 effect on researchers	away from trad. venues and IF-thinking	away from trad. venues and IF-thinking	depends on (funding for) APC	none	limited effect	almost no restriction on journal choice, but need to pay APC	small effort	small effort, accept limitations	adapt to new idea
6. effect on libraries	away from hybrid deals & IF-thinking	away from hybrid deals & IF-thinking, pot. role in funding	limited	potential role in funding	(help) negotiate transformative deals	current type read & publish deals remain relevant	role insofar as hosted in IR / cancel subs evt.	continued role, esp. hosting in inst. repo	chance to play role in curation
7. effect on funders	supporting (own) platforms / lower APC levels	supporting (own) platforms / lower APC levels?	depends on APC levels	lower average APC levels? / pot. role in funding	depends on size of contribution to arrangement <2025	no financial burden / no reduction of role hybrid	no financial gain	no financial gain	adapt to new idea, change assessment
8. effect on societies	big, because of subscription dependance	big, because of subscription dependance	change in business model / probl. for high rejection	change in business model / probl. for high rejection	need to change business model	journals keep role if CC-BY (-SA)[1] is allowed	evt. decreasing subscriptions?	evt. decreasing subscriptions?	limited role, perhaps in quality assurance?
9. effect on editors of trad. jrnls.	fewer submissions, lower status	fewer submissions, lower status	none (or big role in leading flip)	none (or big role in leading flip)	none (or big role in leading flip)	none	none	none	new role in overlay journals?
10. overall pub cost	depends on market	depends on market / funding sources	depends on market	depends on market / funding sources	remains high at least until deal has effect	remains high	remains high	remains high	substantially lower?
11. fits changes in assessment	+	+	-	-	-	-	-	-	++

Plan S implementation: stakeholders

Funders

Society

Researchers

Learned societies

Publishers

Editors

Institutions

Libraries

Effects on institutions / libraries

full gold (incl. diamond)	hybrid	green (self archiving)
away from hybrid deals & IF-thinking	(help) negotiate transformative deals	meeting requirements for IR / cancel subs evt.?
away from hybrid deals & IF-thinking, potential role in funding	current type read & publish deals remain relevant	meeting requirements for IR
limited effect		chance to play role in curation
potential role in funding		

Types / levels of support

Information	Support
Advocacy	Policy development

Types / levels of support

	Inform	Support	Advise, advocate	(Co-)shape policies
e.g.:	Info on website, in LibGuides etc.	Training, licensing tools/platforms, financial support	What is a good choice, why, what's important	Think with institution, graduate schools etc.
asks for:	Knowledge, organizing info	Communication skills, expertise, budget	Advocating priorities, field-specific knowledge; a vision	Authority, role being accepted

Topics to explore for institutions / libraries:

1. (re)considering institutional OA/OS policies
   (OA mandates, evaluation criteria)

2. negotiating transformative agreements and agreements
   with full OA publishers

3. investing in common infrastructure
   (e.g. disciplinary repositories, OA publishing platforms)

4. developing institutional OA publication platforms

5. making institutional repositories plan S compliant

6. informing and supporting researchers

For each topic, discuss:

What concrete steps could be taken at your institution ?

Any examples from other institutions / libraries ?

What would be needed to do this at your local institution ?

What can be done at the local level, what collaboratively ?

What would be needed to do this from other stakeholders ?

What would the effects be (also beyond Plan S) ?

Format for reporting (on flipchart)

from:
https://www.mindtools.com/pages/article/futures-wheel.htm

Format for reporting (on flipchart)
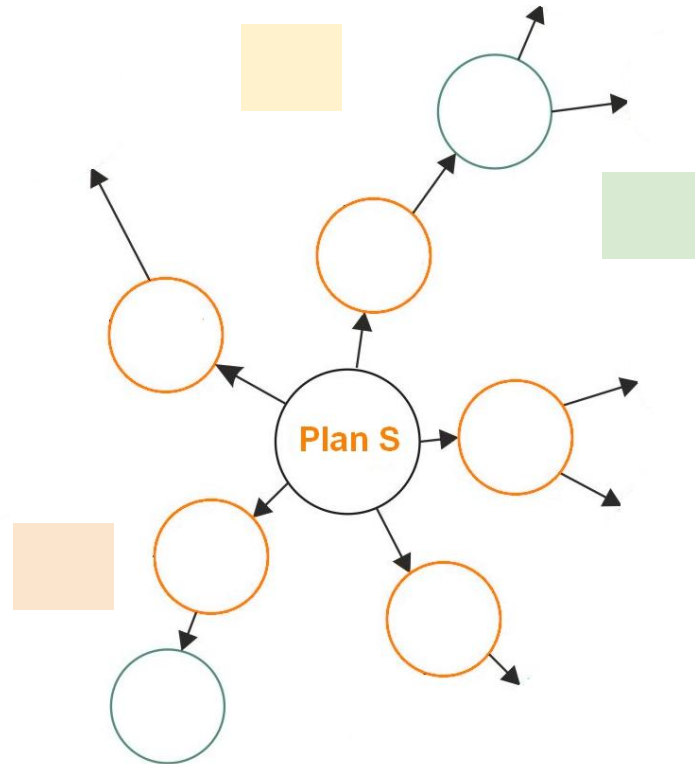
Rotating group presentations

1. groups are moving clockwise and get a 5-minute presentation at each of the other tables
2. one/two person(s) from the group go to their original table to present their results to the visiting group
3. the number on your topic paper indicates in which phase you are going to be a presenter - you will re-join your group in the next phase

This way, everyone gets to be a presenter at some point, and everyone will get to hear all but one presentations.

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