Plan S: Making full and immediate Open Access a reality

Open Science Fair 2019

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Slides last updated: 16th Sept 2019

Agenda

- ⊙ **Plan S and summary of changes to the Implementation Guidelines**

- ⊙ **Working with key stakeholders**

- ⊙ **Other activities**

- ⊙ **Questions**

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

Implementation guidance – key changes (1)

- **Timeline extended by one year:**
  - Calls published as of 1 January 2021 onwards
  - Transformative arrangements will be supported until end of 2024

- **Greater clarity on compliance routes:**
  - cOAlition S supports a diversity of business models
  - Plan S is NOT just about Gold OA

- **Options for range of transformative arrangements are supported**
  - Transformative agreements and transformative journals

Implementation guidance – key changes (2)

◉ Funders commit to **implement DORA principles** when undertaking research assessment

◉ Greater emphasis on the **transparency of OA publication fees**

◉ Option to request a **CC-BY-ND licence** as an exception

◉ **Technical requirements** for journals, platforms and repositories **revised and simplified**

cOAlition S: alignment of Open Access policies

National funders

Charitable and international funders

European funders

OA Champion of cOAlition S appointed

⦿ Johan Rooryck appointed as OA Champion
of cOAlition S

⦿ Will represent cOAlition S in discussions
with key stakeholders, globally

  ⦿ Over the next 3 months speaking at many
  meetings including: ALPSP, OASPA,
  AmeliCA, OA2020, and United Nations

⦿ Will help promote and develop Plan S and
advise cOAlition S on the ways to implement
the transition to full and immediate Open
Access as smoothly as possible

Working with key stakeholders: researchers

- Working with researcher groups to ensure we understand their concerns and find ways of mitigating them

- Seeking to work with Global Young Academy (and others) on developing indicators to measure effects of Plan S on research environment.

  - A Task Force has been established to progress this.

- Ambassador network established – to engage with research community and share concerns with cOAlition S leadership team

Ambassadors

Virginia Barbour — Australasian Open Access Strategy Group and Queensland University of Technology

Alain Beretz — University of Strasbourg

Jean-Sébastien Caux — University of Amsterdam

Susmita Das — Bangladesh Agricultural Research Council

Martin Paul Eve — Birkbeck University of London

Sabina Leonelli — University of Exeter

Elizabeth Marincola — The African Academy of Sciences

Erin McKiernan — Departamento de Física, Facultad de Ciencias, Universidad Nacional Autónoma de Mexico

Frank Miedema — Utrecht University and UMC Utrecht

Cameron Neylon — Centre for Culture and Technology, Curtin University

Gareth O'Neill — Leiden University

Ahmed Ogunlaja — Open Access Nigeria

Jessica Polka — ASAPbio

Harold Varmus — Lewis Thomas University Professor, Weill Cornell Medicine, New York, and Senior Associate Member, New York Genome Center

Working with key stakeholders: publishers

◉ In active discussions with publishers – such as the Society Publishers' Coalition, Springer Nature and others – to explore the "transformative journal" model

Working with key stakeholders: learned societies

- ⊙ Wellcome and UKRI, in partnership with ALPSP have funded a study to explore alternative business model for learned society publishers

- ⊙ Key deliverables are a report containing 27 business models and strategy and a model transformative agreement with an implementation toolkit

- ⊙ Expectation is that a number of Societies will use this Agreement to offer TA's as early as 2020

**Society Publishers
Accelerating Open Access and Plan S (SPA OPS)**

Final Project Report

Alicia Wise and Lorraine Estelle,
Information Power Ltd

ip
informationpower
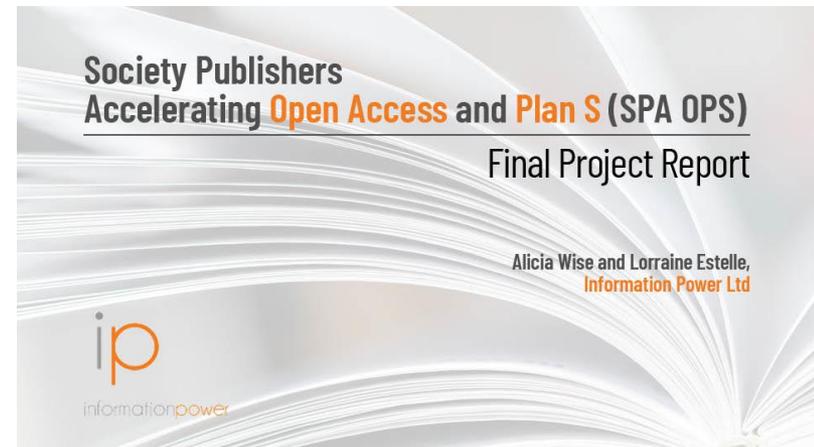
Report, model Agreement and implementation toolkit to be published on 12th September

https://wellcome.figshare.com/

Working with key stakeholders: other OA initiatives

São Paulo Statement on Open Access

01/05/2019

The representatives of African Open Science Platform, AmeLICA, cOAlition S, OA2020, and SciELO – five of the major worldwide Open Access initiatives – met on 1 May 2019 during the annual meeting of the Global Research Council in São Paulo, Brazil. They are united in their common mission of making knowledge available and accessible wherever it can have the greatest impact and help solve humanity's challenges regardless of where it was produced.

The combined effect of the five initiatives has generated a new momentum in the push towards universal, full, and immediate Open Access.

The Five Initiatives Jointly State That:

> They consider that scholarly and scientific knowledge is a global public good. When generated by public funds, free access to it is a universal right.

> They share one common ultimate objective: providing universal, unrestricted, and immediate Open Access to scholarly information, including use and re-use by humans and machines.

> They share the belief that this common goal can be achieved through a variety of approaches.

> They will pursue points of alignment among their approaches and ways to co-operate towards reachin[g]

> They seek an active dialogue with all stakeholders, including researchers, research funders, universitie[s] societies, governments, and citizens to take into account the diversity of the global scholarly communi[ty]

Let's make Open Access a reality!

OA2020 and cOAlition S Launch Joint Statement

09/05/2019

Joint Statement of OA2020 and cOAlition S: Research Performing and Research Funding Organizations Working Toget[her] to Accelerate the Transition to Open Access

Over the past 20 years, many thoughtful strategies have been devised to promote open access to scholarly research publications, including [the] development of repositories and new publishing venues. Yet, the vast majority of scholarly articles continue to be locked behind subscription paywalls of traditional scholarly journals.

Taking decisive steps toward the realisation of full and immediate open access, a global consortium of research funders (cOAlition S) have established the Plan S principles to ensure full and immediate access to all scholarly articles, whether published in subscription journals, ope[n] access journals or other platforms. In explaining why Plan S, Marc Schiltz, President of Science Europe and Chair of cOAlition S states "In the [21st] century, science publishers should provide a service to help researchers disseminate their results. They may be paid fair value for the service[s] they are providing, but no scholarly outputs should be locked behind paywalls!"

In the same spirit, a global network of research performing organisations, united in the Open Access 2020 Initiative (OA2020), has voiced the ambition and developed practical approaches for a large-scale implementation of open access to scholarly journals, complementary to their efforts in support of alternative open access publishing platforms and infrastructure. "Fact-based analysis[1] shows that there is more than enough money in the subscription system worldwide to make a complete transition to open access" says Gerard Meijer, Director of the Fritz Haber Institute (FHI) of the Max Planck Society. "Where publishers have not yet embraced open access on their own, we must leverage our subscription expenditures to drive the transition."

With their common strategy aimed at removing paywalls from published research articles, cOAlition S and OA2020 work in synergy on both sides of the scholarly publishing chain to **achieve open access in scholarly journals and alternative publishing venues.**

Plan S is acting as a spur to encourage a transition to OA – as witnessed by the upsurge in transformative agreements

Other activities – Transparent Pricing

- Plan S guidance specifies:
  "*cOAlition S, in partnership with publisher representatives and other stakeholders, will define the various services (e.g., triaging, peer review, editorial work, copy editing) publishers will be asked to price.*"

- Wellcome - in partnership with UKRI and on behalf of cOAlition S - have appointed Information Power to lead a collaborative project to develop a framework for these communications

- cOAlition S aims to help make the nature and prices of OA publishing services more transparent, and to enable conversations and comparisons that will build confidence amongst customers that prices are fair and reasonable

- The project will <u>not</u> explore costs, nor current or future pricing.

Other activities – Compliance

- ◉ Plan S guidance outlines a range of requirements for publishing options (via any of three routes)

- ◉ Baseline analysis – before Plan S, what options did researchers have to disseminate their work openly?

- ◉ Where can they do so now?
  - ◉ Where is the best data to answer this question? For three routes:
    - ◉ **Gold** – DOAJ?
    - ◉ **Green** – RoMEO?
    - ◉ **Transformative arrangements** – ESAC Registry?
    - ◉ … and/or other data sources
  - ◉ What kind of tool can be built to help researchers navigate this increasingly complicated landscape?

- ◉ Overseen by a second task force

Other activities – cOAlition S Secretariat

- Establishing a formal cOAltion S Secretariat /Office to ensure that we can appoint staff, award contracts etc to take forward the work associated with the implementation of Plan S

- Budget defined – which will be funded by cOAlition S members who are able to make a financial contribution
  - No obligation for cOAlition S funders to make a financial contributions

- Office expected to be up and running by January 2020

Other activities

Priority actions for cOAlition S – from June 2019

We acknowledge that there is a wide range of work to be done to implement Plan S, some of which is noted at various points in the revised implementation guidance. We have identified the following priorities for the next few months:

01 Appoint an Open Access Champion who will promote Plan S to research funders and other stakeholders.

02 Establish the cOAlition S Secretariat and develop a budget to take work forward.

03 Convene meetings of the existing members of cOAlition S, to share insights and address challenges in implementing Plan S.

04 Work together to articulate a vision for the long term future of Open Access.

05 Set up a task force to develop a framework to monitor the effects of Plan S on the research and scholarly communication ecosystems.

06 Set up a task force to identify where it is difficult to comply with Plan S, consider how to address these issues, and provide reliable information to researchers on how they can align with Plan S.

07 Work with publishers, societies, consortia, and others to develop clearer approaches to transformative arrangements towards full and immediate Open Access.

08 Work with publisher representatives and other stakeholders to define the various services (e.g., triaging, peer review, editorial work, copy editing) publishers will be asked to price.

09 Begin discussions to explore the best ways to implement rights retention for authors and institutions, recognising national, disciplinary, and other differences.

https://www.coalition-s.org/workplan/

Things for 2020

⊙ Monographs
- ⊙ *"cOAlition S will, by the end of 2021, issue a statement on Plan S principles as they apply to monographs and book chapters, together with related implementation guidance."*

⊙ DORA
- ⊙ *"cOAlition S supports the principles of the San Francisco Declaration on Research Assessment (DORA) that research needs to be assessed on its own merits rather than on the basis of the venue in which the research is published. cOAlition S members will implement such principles in their policies by January 2021."*

⊙ Infrastructure, tools and platforms
- ⊙ *"cOAlition S members will collectively establish incentives for establishing Open Access journals/platforms or flipping existing journals to Open Access, in particular where there are gaps and needs."*

⊙ Rights retention
- ⊙ *"Where possible, cOAlition S members will ensure by way of funding contracts or agreements that the authors or their institutions retain copyright as well as the rights that are necessary to make a version (either the VoR, the AAM, or both) immediately available under an open license (as defined below). To this end, cOAlition S will develop or adopt a model 'License to Publish' for their grantees."*

Implementation by cOAlition S funders

A lot of planning going on

We will meet on 7th October to review

Thank you

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