Background to Plan - S and the revised guidelines
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Volume of OA has increased, but:

» Overall level of expenditure on subscriptions and OA continues to rise

» Unsustainable inflation in cost of individual APCs

» Lack of institutional control of spend on OA outside central budgets

» Concern from research intensives that they will pay for all costs in future

» Little evidence of systematic shift in the model from subscriptions to OA

» The last six years were meant to be a transition period to underwrite the change to OA

» In practice, the unmanaged hybrid OA model is an additional revenue stream, rather than replacement revenue stream, that does not achieve policy objectives and undermines efforts to achieve full and immediate OA
Plan S

“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.”

www.coalition-s.org
» In an OA Journal
» In an OA Repository
» In a journal that has promised to become OA
Transformative OA agreements aim to convert subscription expenditure into an OA fund that makes all of a consortium’s research output OA on publication, whilst maintaining access to any remaining paywalled content, for the same level of expenditure as under the subscription model.
Plan S Principles

1. Authors or their institutions retain copyright to their publications. All publications must be published under an open license, preferably the Creative Commons Attribution license (CC BY), in order to fulfil the requirements defined by the Berlin Declaration;

2. The Funders will develop robust criteria and requirements for the services that high-quality Open Access journals, Open Access platforms, and Open Access repositories must provide;

3. In cases where high-quality Open Access journals or platforms do not yet exist, the Funders will, in a coordinated way, provide incentives to establish and support them when appropriate; support will also be provided for Open Access infrastructures where necessary;

4. Where applicable, Open Access publication fees are covered by the Funders or research institutions, not by individual researchers; it is acknowledged that all researchers should be able to publish their work Open Access;

5. The Funders support the diversity of business models for Open Access journals and platforms. When Open Access publication fees are applied, they must be commensurate with the publication services delivered and the structure of such fees must be transparent to inform the market and funders potential standardisation and capping of payments of fees;

6. The Funders encourage governments, universities, research organisations, libraries, academies, and learned societies to align their strategies, policies, and practices, notably to ensure transparency.

7. The above principles shall apply to all types of scholarly publications, but it is understood that the timeline to achieve Open Access for monographs and book chapters will be longer and requires a separate and due process;

8. The Funders do not support the ‘hybrid’ model of publishing. However, as a transitional pathway towards full Open Access within a clearly defined timeframe, and only as part of transformative arrangements, Funders may contribute to financially supporting such arrangements;

9. The Funders will monitor compliance and sanction non-compliant beneficiaries/grantees;

10. The Funders commit that when assessing research outputs during funding decisions they will value the intrinsic merit of the work and not consider the publication channel, its impact factor (or other journal metrics), or the publisher.
The revised Plan S maintains the fundamental principles:

- No scholarly publication should be locked behind a paywall;
- Open Access should be immediate i.e., without embargoes;
- Full Open Access is implemented by the default use of a Creative Commons Attribution CC BY licence as per the Berlin Declaration;
- Funders commit to support Open Access publication fees at a reasonable level;
- Funders will not support publication in hybrid (or mirror/sister) journals unless they are part of a transformative arrangement with a clearly defined endpoint.

But a number of important changes:

- Timeline has been extended to 2021
- Transformative agreements supported to 2024
- More options for transitional arrangements are supported
- Greater clarity: Plan S is NOT a publication fee model of OA. cOAlition S supports a diversity of sustainability OA models
- Emphasis on changing research reward and incentive system: cOAlition S funders explicitly commit to this
- Transparency in Open Access publication fees is emphasised
- The technical requirements for Open Access repositories have been revised
Role of repositories has been clarified

- cOAlition S strongly encourages researchers to deposit their publications in a repository, irrespective of the chosen route to compliance
- Pull back from mandatory requirement for JATS/XML
- Intention that the technical requirements should underpin a route towards a new generation of repository platforms
Wellcome Trust Policy

UKRI Policy
- Concerns articles, conference proceedings and monographs
- Outputs for REF 2021 need not change
- Content unknown and now delayed until after the election...

UKSCL
Some concerns

Structural
» Is Plan S purely a European phenomenon?
» Will it get traction in the rest of the world?
» Will publishers change their models? or accommodate in other ways?
» What happens if academics simply refuse to use OA routes?
» The time - can we do it by 2021?
» Is the infrastructure in place? Robust? Sustainable?
» What about disciplinary differences?
» Where will the money come from for Gold OA?

Operational
» Can our repositories comply with the technical requirements?
» Interoperability between systems
» Deposit on acceptance can be difficult
» Re-keying data - at submission, into reports, into repository, into finance systems, into CRIS
» Compliance - how do we do it?
  › Funders and award numbers often unidentified
  › Authors ambiguous

and what are your concerns?
Getting open access done is the first step

» Open Science
  › reproducibility
  › true change to the form of research outputs
  › open/other peer review

» AI and research
  › meta-analysis
  › AI as research agents

» Impact and exploitation

» Commercial re-use
  › database rights

which will all need

» Infrastructure
  » Agility

» PIDS
  » Preservation
  » Metrics
  » Standards
  » IP licences and control