

Title	Plan-S update
Creators	Drury, Luke O'Connor
Date	2019
Citation	Drury, Luke O'Connor (2019) Plan-S update. In: Briefing on Open Access and Plan-S for Open Access Week 2019, 23 Oct 2019, Dublin Institute for Advanced Studies, 10 Burlington Road. (Unpublished)
URL	<a href="https://dair.dias.ie/id/eprint/1062/">https://dair.dias.ie/id/eprint/1062/</a>



# Universal Declaration of Human Rights

## Article 27.

- (1) Everyone has the right freely to participate in the cultural life of the community, to enjoy the arts and to share in scientific advancement and its benefits.
- (2) Everyone has the right to the protection of the moral and material interests resulting from any scientific, literary or artistic production of which he is the author.

# Open Access Week 2019

## Current Status of Plan-S



Luke Drury

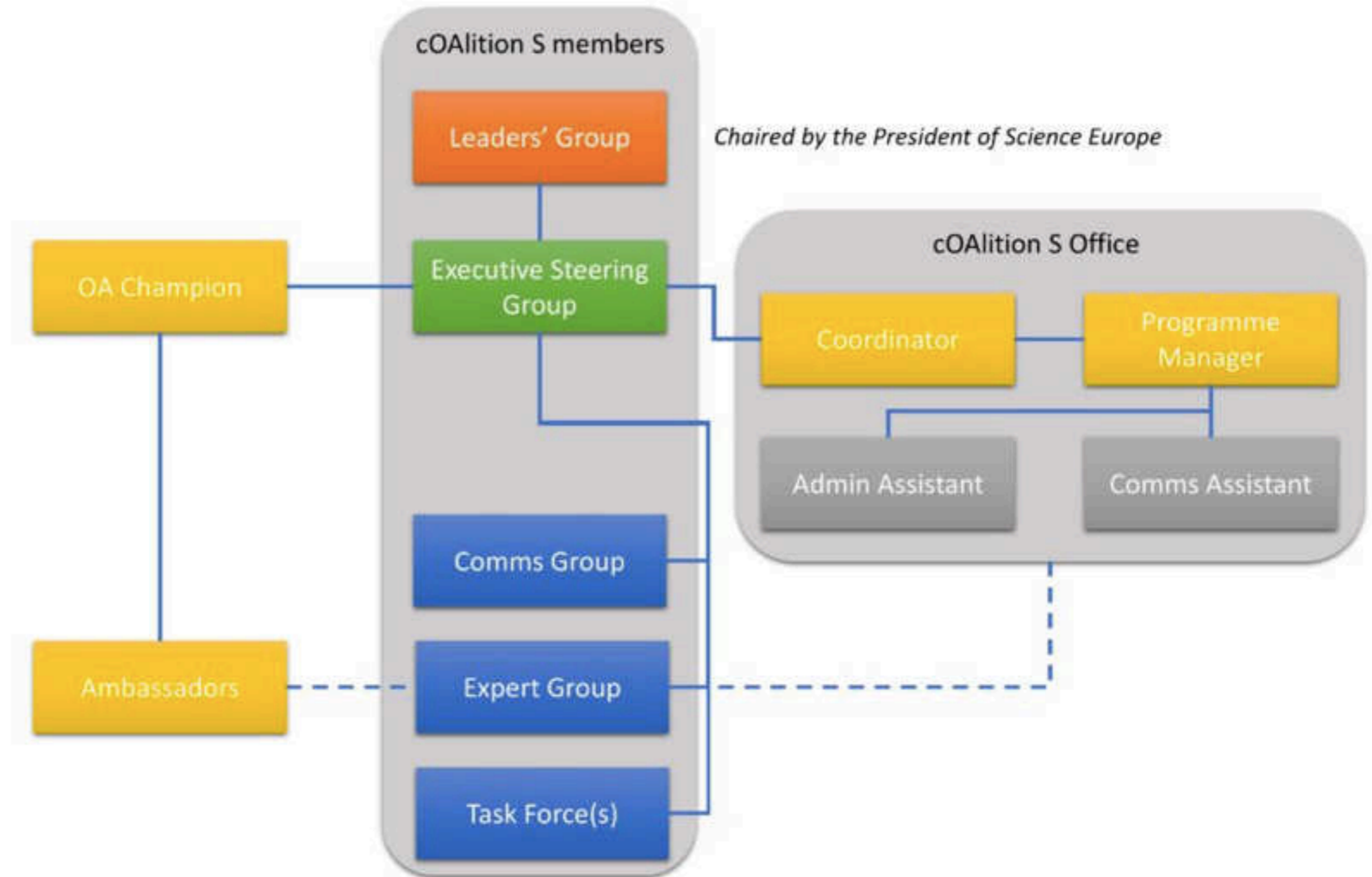


# Background

- Plan-S launched on 4 Sep 2018.
- Backers form the group cOAlition-S.
- S for Science, Shock or Smits?
- First set of draft implementation guidelines released on 27 Nov 2018 for consultation.
- Over 600 responses from 40 countries leading to significantly revised guidelines being published on 31 May 2019 - moving goalposts!

- Very clearly driven at start by Robert-Jan Smits (open access envoy of the European Commission) until March 2019.
- First implementation plans drawn up under aegis of John-Arne Røttingen (RCN) and David Sweeney (UKRI).
- Professor Johan Rooryck from Leiden is new Open Access Champion of cOAlition-S (chief editor of Glossa).
- Supported by network of “ambassadors”.
- Governance is embedded in Science Europe and chaired by the President, currently Mark Schiltz.

# Governance and Organisational Structure





# Presentation by Neil Jacobs, interim programme manager for Plan-S, at the Porto Open Science Fair.

Plan S: Making full and immediate Open Access a reality

Open Science Fair 2019

Neil Jacobs

Slides last updated: 16th Sept 2019

## Publication date:

September 18, 2019

## DOI:

DOI [10.5281/zenodo.3450641](https://doi.org/10.5281/zenodo.3450641)

## Keyword(s):

Plan S

Open Science

Open Access

## Meeting:

[Open Science FAIR 2019 \(OSFAIR 2019\)](#), Porto, Portugal, 16-18 September 2019 (Session Plan S panel )

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## 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**



# Welcome and pragmatic changes

- Original time scale was always too rushed (shock?)
- There was a clear bias towards Gold OA funded by Article Processing Charges (APCs) in first version.
- Requirements for a compliant repository were ridiculous and amounted to a description of how PubMedC works - would have ruled out arXiv for example.
- First version was very Euro-centric and STEM oriented (and, speaking as a physicist, life-sciences biased).



# 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





# Communication is essential

- Plan-S will fail if it does not get acceptance by the research-performing communities.
- Still frightening levels of ignorance among working scientists funded by cOAlition-S members!
- Science is global - this cannot be a Europe-only initiative (but can be Europe led).
- Latin America in particular has a very interesting alternative model.

# “Transformative” agreements

- Basically flip journals from “pay to read” to “pay to read and write”. Project DEAL in Germany paradigmatic example.
- Are they really transformative?
- Raise many complex issues - public procurement, price transparency, budget allocations etc.
- Personally quite sceptical. Main problem is that they simply entrench the existing power structures of big research institutes and big publishers.
- Not much prospect of a “transformative” deal for Ireland (even if that was desirable) - we are too small.

The objectives of Projekt DEAL are to achieve:

- Immediate open access publication of all new research articles by authors from German institutions
- Permanent full-text access to the publisher's complete journal portfolio
- Fair and reasonable pricing for such services articulated with a simple and future-oriented model based on the number of articles published,

**Currently under Project DEAL the effective APC for publication in a Wiley journal is about €2,750.**

**What happens if you are a Privatgelehrter (they still exist)?**

## 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

# Important development

## OCT 07 COAR and cOAlition S supporting repositories to comply with Plan S

COAR and cOAlition S share a common aim to accelerate the transition to full and immediate Open Access to scholarly publications and COAR supports the vision and principles outlined in Plan S. Repositories offer a low-cost, high-value option ... [Continue reading »](#)

- The Confederation of Open Access Repositories will work with cOAlition-S to support repositories to be Plan-S compliant.
- Probably best route for Ireland (certainly the cheapest) - most organisations have institutional repositories.
- Only Irish member of COAR at moment is DRI (annual membership is only €750).



# 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.”*

# Step back a bit...

- In one sense Plan-S has been a success already - debate about Open Access has been revitalised and almost nobody is opposed to the principle.
- Moral case is irrefutable and can even be argued as a human right (the universal declaration does explicitly mention the right to participate in scientific and cultural activities).
- The question is how to get from where we are to where we want to be - how much disruption is necessary, desirable, unavoidable?
- Also where do we actually want to be?



# Future of Scholarly Publishing and Scholarly Communication

*Report of the Expert Group to  
the European Commission*

<https://publications.europa.eu/s/m7Gn>

# Some personal thoughts

- Not widely recognised that in many ways the most transformative part of Plan-S is the radical change in copyright that it enforces.
- If authors or their institutions retain copyright under a creative commons licence much of the monopoly power of the commercial publishers is gone.
- It is a false dichotomy to present the “somebody has to pay” argument as “pay to read” or “pay to write” - perfectly possible to have a third party pay and in many ways preferable in avoiding perverse incentives.
- Are we about to see an evolutionary change in scholarly communication or a disruptive technology shift? Interesting parallels to rise of Linux and open software in the IT sector.

# Conclusion

- We live in interesting times - look at University of California and Elsevier for example!
- Science as a global public good is needed more than ever if we are to address the SDGs and tackle fake news and disinformation.
- The current European and North American publishing system is not fit for purpose - academia needs to take back control from commercial interests.
- My money is on preprint archives combined with new models of peer review as the future, but who knows?



Lunch - but no cupcakes!

