ALPSP Discussion & Networking: Plan S

Wednesday 30 January 2019

Chair: Peter Ashman, BMJ
Chair, ALPSP Council

Wi-Fi:
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www.alpssp.org
Funders and Plan S

ALPSP, Plan S Briefing, 30th January 2019

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Overview

• Background to Plan S

• Why funders – like Wellcome – are supporting this initiative

• What it means for researchers
How did we get to Plan S?

• 2016 Amsterdam Call for Action – which set a goal that all “scientific publications should be OA by 2020”

• 2018 President Junker appointed Robert-Jan Smits to make a reality of this ambition

• 2018 (Sept) – Plan S published

• 2020 – Plan S implemented (Wellcome’s new policy comes into effect)
The Plan S principles

“After 1 January 2020 scientific publications on the results from research funded by public grants provided by national and European research councils and funding bodies, must be published in compliant Open Access Journals or on compliant Open Access Platforms.”

In addition:

01. Authors retain copyright of their publication with no restrictions. All publications must be published under an open license, preferably the Creative Commons Attribution Licence CC BY. In all cases, the license applied should fulfill the requirements defined by the Berlin Declaration;

02. The Funders will ensure jointly the establishment of robust criteria and requirements for the services that compliant high quality Open Access journals and Open Access platforms must provide;

03. In case such 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;

04. Where applicable, Open Access publication fees are covered by the Funders or universities, not by individual researchers; it is acknowledged that all scientists should be able to publish their work Open Access even if their institutions have limited means;

05. When Open Access publication fees are applied, their funding is standardised and capped (across Europe);

06. The Funders will ask universities, research organisations, and libraries to align their policies and strategies, notably to ensure transparency;

07. 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 books may be longer than 1 January 2020;

08. The importance of open archives and repositories for hosting research outputs is acknowledged because of their long-term archiving function and their potential for editorial innovation;

09. The ‘hybrid’ model of publishing is not compliant with the above principles;

10. The Funders will monitor compliance and sanction non-compliance.
Who is supporting Plan S?

- 13 national funders – including UKRI, ANR and NWO
- 3 charitable funders – including Wellcome and Gates
- Also supported by EC and ERC
Why are funders supporting Plan S?

- We want the research we fund to be made fully accessible and reusable
  - From Wellcome’s perspective we fund research to help improve health – it is imperative that this research is fully open access

- Current approaches to OA – including support for hybrid – not bringing about the transformation we seek
  - Estimated that 76% of research published in 2016 is behind a paywall on publication

Source: Monitoring the transition to OA, UUK, 2017
What does Plan S mean in practice for “cOAlition S”-funded researchers?

<table>
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<tr>
<th>Open Access journals or Open Access platforms</th>
<th>Deposition of scholarly articles in Open Access repositories</th>
<th>Transformative agreements</th>
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<tr>
<td>Authors publish in a Plan S compliant Open Access journal or on a Plan S compliant Open Access platform with a CC BY license.</td>
<td>Immediately upon publication, authors deposit the final published version of a scholarly publication (Version of Record (VoR)) or an Author’s Accepted Manuscript (AAM), in a Plan S compliant repository. The document is made available immediately open access (with no embargo) under a CC BY license.</td>
<td>Authors publish Open Access with a CC BY license in a subscription journal that is covered by a transformative agreement that has a clear and time-specified commitment to a full Open Access transition.</td>
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Implementation guidance

• cOAlition S funders have published further, implementation guidance

• **Looking for feedback on two questions:**
  • Is there anything unclear or are there any issues that have not been addressed in the guidance document?
  • Are there other mechanisms or requirements funders should consider, to foster full and immediate OA of research outputs?

• **Feedback closes 8th February 2019, at 16.00 GMT**
Other supporting activities

• **Working with UKRI and ALPSP to fund a study to explore how learned societies can adapt and thrive under Plan S**
  • Contract awarded

• **Working with Jisc Collections on agreeing which “transformative agreements” are Wellcome compliant**

• **Journal compliance tool**
  • Working to develop tool to help researchers identify Plan S compliant journals and platforms

• **Plan S signatories agreed to commission:**
  • Gap analysis to identify fields/disciplines where there is a need to increase number of OA journals and platforms and will establish incentives to fill this gap
Further information

- **Web site**
  - [https://www.coalition-s.org/](https://www.coalition-s.org/)
  - [https://wellcome.ac.uk/openaccess](https://wellcome.ac.uk/openaccess) (link to explainer, new policy and FAQ)

- **Contact us**
  - openaccess@wellcome.ac.uk
  - @robertkiley
Develop skills for success with ALPSP training …

- Creating an Inclusive Culture, 13 February, London
- Journal Development 1: Practical plans for improving journal success, 6 March, London
- Publication Ethics: Fraud and misconduct, 20 March, London
- Online Journal Discovery and Delivery: Working with libraries and industry intermediaries to maximise readership, 26 March, New York and 28 March, Washington DC
- Effective Journal Editorial Management, 3 April, London
- Growing Successful Open Access Journals, 8 May, London

See [www.alpsp.org/training](http://www.alpsp.org/training) for details
Introduction

Nicola Ramsey
Head of Editorial, Edinburgh University Press

Substitute
Deborah Dixon
Editorial Director, Journals, Oxford University Press
Edinburgh/Oxford University Press(es)

- 70 years old in 2019/ OUP > 400 years old
- Mid-sized University Press/ OUP is largest
- 45 journals/>450 journals; 250 books/>6000 books/year
- HSS subject areas/ STEM and HSS subject areas
- Wholly-owned subsidiaries of the Universities
Where are we now?

Most journals are hybrid – offer gold OA as option and have double dipping policy

Green OA: AM in authors’ institutional repository with no embargoVoR/AM in non-commercial disciplinary repository with 12-month embargo. PubMed Central for NIH funded research

Most green OA articles are author copyright with exclusive licence to publisher (not CC-BY, which is problematic to HSS authors)
What does Plan S want?

‘Plan S aims for full and immediate Open Access to publications from publicly funded research.’
Funding/ APCs

HSS and publicly-funded research

1% of EUP journal articles Gold OA in 2018
Funding/ APCs

RHS study: c8% history articles from UK Learned Societies supported by funding bodies that are Plan S signatories

Self-funding/ QR funding (c£500 pa) is the norm
EUP journal subject areas

- Literary Studies: 33%
- History: 25%
- Film & Media: 12%
- Philosophy: 8%
- Law: 7%
- Religion: 7%
- Linguistics: 4%
- Architecture: 2%
- Politics: 2%
Impact

Universities adopt Plan S policy and channel funds into APCs

Increased number of potential EUP authors requiring OA publication conforming to Plan S
Flipping to OA

How do we accommodate this? What’s the tipping point where we can flip to OA?

If we can’t flip, the reducing pool of potential articles will damage reputation/revenue
Further impact

Consolidation of market place

Read & Publish/ Publish & Read
What could we do to comply?

Transition from subscription model to OA: how is this funded?

Adapt our green OA policy: how will this impact our subscriptions?
Hybrid

A change in the funding landscape?

A gradual but continuing move towards full OA?
Let’s talk

cOAlition S recognises we ‘must work together’

Ensure dialogue involves small scholarly publishers
Develop skills for success with ALPSP webinars …

Webinar Series: What is Hype and What Has Value? Technological buzzword or industry innovation?

• Open Source Technologies, 5 February
• Artificial Intelligence, 7 March
• Blockchain, 2 April

Book two webinars and attend the third at half price. See www.alpsp.org/webinars for details