8.1 Funding Mandates: Looking at Plan S and Beyond

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What is Plan S?

Plan S
Accelerating the transition to full and immediate Open Access to scientific publications

Plan S: Value Statement

“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.”
Who is cOAlitionS?
How Many Papers?

- Best estimate is around 3%
  - DeltaThink analysis of the whole market
  - No definition yet of what qualifies with collaborative teams
- Will fluctuate based on journal
- Big players are not in:
  - US
  - China
  - Germany
  - RCUK

Principles

1. Author retains copyright, no restrictions, preferably CC BY
2. Participating funders will establish criteria for compliant journals and platforms (jointly– or not)
3. Where there are no “high quality” OA options, participating funders will provide “incentives” and “support” to create one
4. OA fees should be paid by the funder or institution and not individual authors
Principles

5. Standardized and capped OA fees (across Europe)
6. Universities, research orgs, and libraries asked to align their policies with Plan S principles
7. Importance of archives and repositories is acknowledged
8. Principles apply to all scholarly content, noting that monographs might take longer
9. Hybrid is “not compliant”
10. Funders will monitor compliance and sanction non-compliance

What do you mean, no hybrid journals?!?

- 85% of existing journals are no longer compliant
- Many OA journals, no longer compliant
- Green OA not compliant unless licensing worked out
Implementation Guide to Compliance: Journals

- DOAJ listed OA journals
- Option for CC BY
- Grant automatic APC waivers for authors from low-income countries and discounts to middle-income countries
- Transparent costing and pricing with “potential surpluses” required to be disclosed
- Full text XML in the JATS DTD
- Citations parsed and tagged and free

Implementation Guide to Compliance: Journals

- Archiving, such as with CLOCKSS or Portico
- Linking to underlying data and code
- Hybrid allowed as long as the journal is under a transformative agreement with someone no later than December 2021
- No mirror journals
Implementation Guide to Compliance: Repositories

- Must have automated manuscript ingest (requesting that publishers send the papers over)
- Full-text XML in JATS DTD “of the same criteria of OA journals”
- An API
- QA process to integrate fully with A&I services
- No cost to anyone to deposit

What to do?

- Review your content for Plan S funded works.
- Determine if you can wait it out
Wait

Plan

Less than 5% of published content affected

More than 10% of published content affected

Don't have any compliant OA options for authors

Have at least one compliant OA journal

See growth of content from participating funders

“I think the important thing is not to make it look like we're panicking.”

“See, and I think the important thing is actually not to BE panicking.”
Reasons Not to Panic

- Over 700 comments on Plan S made during feedback period
- Plan S officials have been all over the place on implementation
- Funders concerned that there was little to no consultation done with stakeholders
- Major funders have been very lukewarm

Thank you.

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Beyond Plan S

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Beyond…

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Plan S

YOU KEEP USING THAT WORD
Radical plan  Compliant OA
Transformational agreement
I DO NOT THINK IT MEANS WHAT YOU THINK IT MEANS

Plan S
Researchers: Factors driving submission choices

From 2015 Springer Nature Author Insights Survey
https://figshare.com/articles/Author_Insights_2015_survey/1425362

Researchers: Future intentions regarding OA publication

From 2014 Taylor & Francis open access survey
https://www.tandfonline.com/openaccess/opensurvey
Institutions

Figure 5. Does your institution have a policy on Open Access to research publications?

*2017-2018 options differed from the previous survey: did not include "is planning" option

From 2017-2018 European University Association Open Access Survey Results

Funders

Policies Adopted by Quarter

From ROARMAP, generated by highcharts.com
http://roarmap.eprints.org/view/country/un=SFgeoscheme.html
What are publishers doing?

"Stimulus, response! Stimulus, response! Don't you ever think!"
Open Access Growing

Article growth overall:
• 3-4%
• (increasing recently)

Open Access
• ~10%

Subscription:
• ~3%

Support for Open Science, done right

Publishers want to make things easy for authors/funders, consistent w/ high quality, integrity, and preservation

• Statements from publishers, associations
  – STM: support for open science, willingness to work on implementation, raised concerns

• Publishers need to serve their communities
Old? options

• Gold OA
• Hybrid journals
• Green OA:
  How Can I Share It?
  www.howcanishareit.com
• CHORUS
  www.chorusaccess.org
• Collaboration/partnerships

New? options

• Mirror journals

https://www.elsevier.com/connect/what-are-mirror-journals-and-can-they-offer-a-new-world-of-open-access
New? options

• Referral after acceptance

https://pixabay.com/photos/waterfall-london-japanese-garden-4068041/

New? options

• Read and Publish
• Publish and Read

http://www.photo-dictionary.com
New? options

• Other “transformative agreements”

New? approaches

• Author-focused options/processes
  – Support for compliance
  – Pay for services?

• New evaluation/recognition options
  – Badges
  – Registered reports
  – Data services
Keep research and researchers at the center

Contact

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- Agencies implementing 2013 Holdren Memo
  - 12 month embargo allowed
  - Deposit in OA repository
  - No licensing requirements

- OSTP Director silent thus far
  - Staff has indicated interest in reviewing policy
  - May focus on data or publications, compliance

- Plan S lobbying OSTP, agencies
  - DOE: “We don't anticipate making any changes to our model”
  - No other public statements

China

- Current OA policy of NSFC & CAS:
  - 12 month embargo allowed
  - Deposit in OA repository
  - Voluntary 2014, mandatory 2018

- Endorsed OA2020 (libraries)
  - MPDL initiative “to systematically convert resources currently spent on journal subscriptions into funds to support sustainable, transparent, open access business models”

- *Science, Nature*: “support for Plan S goals”
  - Alleged position papers to require immediate OA asap, support “flexible and inclusive measures.”
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Questions?
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