

OPEN ACCESS & PLAN S

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WHY CARE ABOUT OPEN ACCESS? AUDIENCES ARE WIDE AND DIVERSE

- Scholars residing in low-resourced environments
- Independent scholars
- Other disciplines (e.g. COVID..)
- **Readers beyond academia:**
 - Policy makers
 - Practitioners
 - Institutions (including industry)
 - Interested individuals

e.g. 28% of OA readers for Springer Nature in 2020 were general users such as teachers, lawyers, patients (reported in *Science*, 01/2021)

OPEN ACCESS: AN OBVIOUS SOLUTION?

- Not so obvious - depends on financial models
 - Publishers do heavy lifting with editorial managers, distribution channels, indexing, copy—editing, advertising and so forth
 - Most authors have no capacity and/or skills to do it themselves
 - How to support OA publishing?

OPEN ACCESS: AN OBVIOUS SOLUTION?

- Solution 1: avoid journals altogether and use preprint services (*but: reputation! Scholarly societies! Long-standing journals! Impact factor and citation counts! Indexing and searchability!*)
- Solution 2: use commercial journals that admit use of preprint services (*but: published version is closed! And: preprints issues above*)
- Solution 3: use Open Access journal that do not charge Author Publishing Charges (APCs) (*but: few of them, often not visible/indexed, fragile long-term prospects and horribly labor-intensive*)
- Solution 4: publish Open Access by paying APCs (*but: ridiculously expensive and exclusionary*)

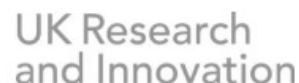
PLAN S

- ① Plan S is part of a wider open science movement, looking to accelerate the transition to providing research results in Open Access
- ① To fully deliver on its ambition – **to make full and immediate OA a reality** – we need a global coalition of funders, but also institutions, researchers, and publishers
- ① 2018 onwards; Coalition S

COALITION S: ALIGNMENT OF OPEN ACCESS POLICIES



National funders



Charitable and international funders



European funders

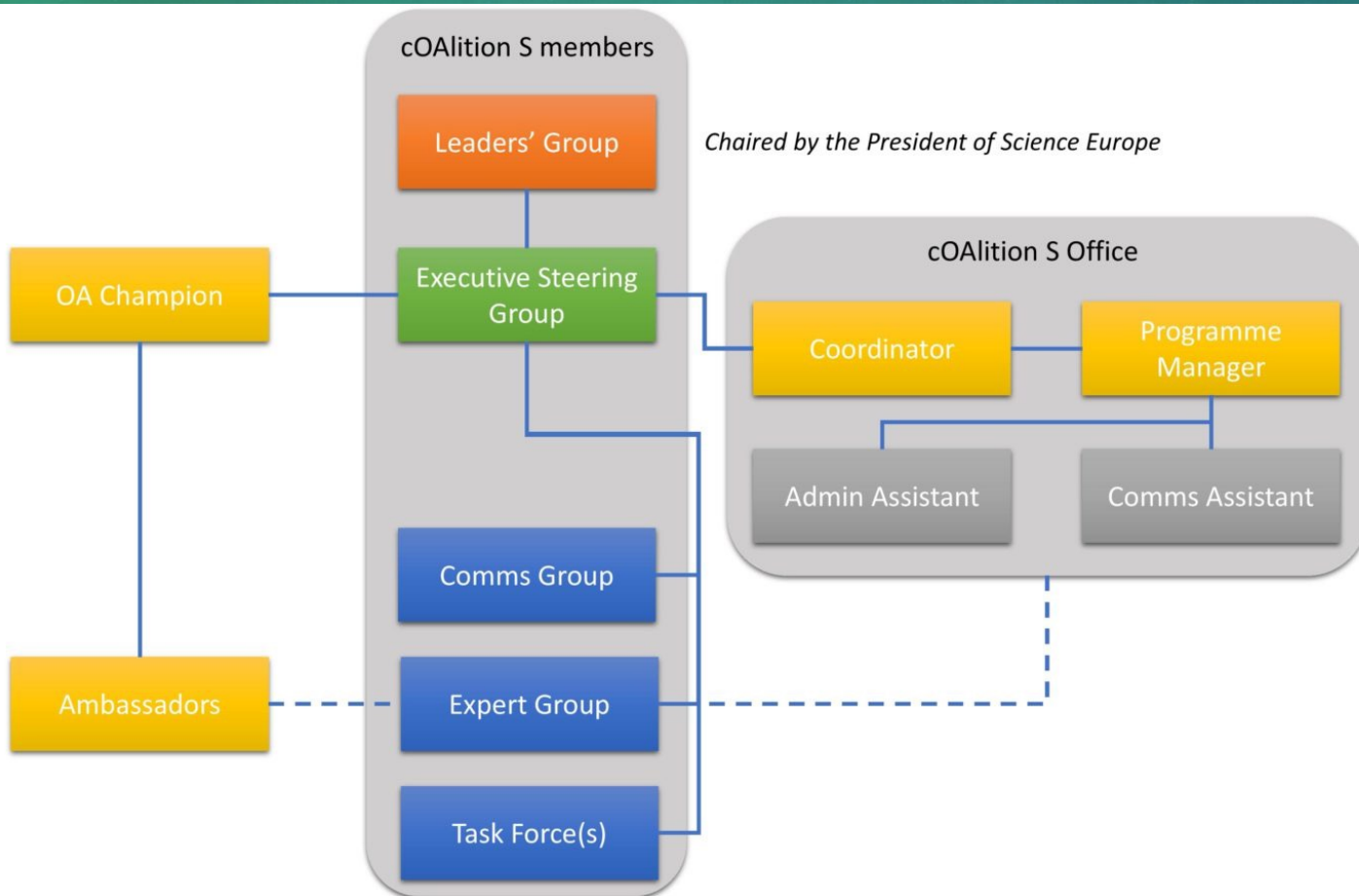


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SCIENCE
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COALITION S – GOVERNANCE



AMBASSADORS



- Working with researcher groups to ensure we understand their concerns and find ways of mitigating them
- Working with Global Young Academy (and others) on developing indicators to measure impact of Plan S on early career researchers (ECR). 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
Australian 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 México



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

PRINCIPLES



○ Research results are a public good and should be immediately available so as to accelerate science

○ **No more paywalled publications**

○ OA must be immediate: **no embargo periods**

○ Publication under a **CC BY license** by default, **no copyright transfer** (*Principle 1*)

○ **Transparency** about pricing and contracts



PRINCIPLES



- Publication fees should be transparent and reasonable (*Principle 5*)
- **Funders** commit to support such publication fees, **individual researchers do not pay** (*Principle 4*)
- **Multiple routes** to OA compliance (*Principle 5*)
- Commitment to assess research outputs based on their **intrinsic merit** and NOT their venue of publication, following DORA (*Principle 10*).



2019 CONSULTATION



- 600 responses to the Plan S Guidance consultation
 - I co-led response by GYA and National Young Academies of Europe
- Monitoring Effects Taskforce established, with representatives of cOAlition S funders and 4 early career researcher (ECR) organisations
- Focus on effects of Plan S on ECR: concern about Plan S effects on career progression esp. Implementation of responsible metrics (DORA)



IMPLEMENTATION GUIDANCE: KEY CHANGES



- **Timeline extended by one year:**

- Publications from calls published as of 1 January 2021 must be in OA
- “Transformative arrangements” supported until the end of 2024

- ⦿ **Greater clarity on compliance routes:**

- ⦿ cOAlition S supports a diversity of business models
- ⦿ Plan S is **NOT** just about Gold OA:
- ⦿ **Immediate Green is fully compliant!**



IMPLEMENTATION GUIDANCE: KEY CHANGES



- 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 a (properly justified) exception
- **Technical requirements** for journals, platforms and repositories **revised and simplified**



Plan S & Rights Retention

#RetainYourRights

www.coalition-s.org/rights-retention-strategy

Helping researchers
retain their rights
and share their work
Open Access

cOAlition S

Hosted by the European Science Foundation
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IMPLEMENTATION GUIDANCE: KEY CHANGES



- **A range of transformative arrangements are supported:**

- *Transformative agreements*: a transition from subscription to Open Access publishing between university libraries and publishers.
- *Transformative model agreements*: agreements for transition that avoid double payment
- *Transformative journals*: offsetting subscription costs by a gradual increase in OA fees



THE ELEPHANT IN THE ROOM: TRANSFORMATIVE ARRANGEMENTS

- Designed to help libraries and library consortia to complete the transition to Open Access.
- Attempt to move beyond APCs and support journals with little capacity for OA flip
 - *Transformative agreements*: a transition from subscription to Open Access publishing between university libraries and publishers.
 - *Transformative model agreements*: agreements for transition that avoid double payment
 - *Transformative journals*: offsetting subscription costs by a gradual increase in OA fees

TRANSFORMATIVE JOURNALS

Subscription journal that is **committed to transitioning to a fully OA journal**. In addition, it must:

- demonstrate an annual increase in the proportion of OA research content of at least 5% in absolute terms and at least 15% in relative terms, year-on-year;
- agree to transition to full Open Access ASAP, and in any event no later than when 75% of its research content is published Open Access;
- offset subscription income from payments for publishing services (to avoid double payments)

NEWS • 09 APRIL 2020 • UPDATE 14 APRIL 2020

Nature to join open-access Plan S, publisher says

Springer Nature says it commits to offering researchers a route to publishing open access in *Nature* and most Nature-branded journals from 2021.

Richard Van Noorden



RELATED ARTICLES

Ambitious open access plan delayed to let researchers adapt to community advice

Do authors and funders enforce open access to research?

Rumours fly about US government policy

THE ELEPHANT IN THE ROOM: TRANSFORMATIVE ARRANGEMENTS

BUT: A *magical* lock-in system for big publishers,
which does not even affect their income?

(Note: several key OA service providers, such as Mendeley and F1000, have been acquired by large commercial publishers)

- Is there another way?

SUPPORTING DIAMOND OPEN ACCESS PUBLISHING

- OA Diamond Journal Study Report just published
(commissioned by Coalition S)
<https://zenodo.org/record/4558704#.YKaQbuso-YV>

A key recommendation of the #OADiamondstudy is to support the development of an "OA Diamond capacity center" or "OA Commons" that could serve the communities involved in diamond publishing and provide a platform to share expertise...

CLICK TO TWEET 

[See my blog on this here: <https://www.coalition-s.org/blog/protecting-high-quality-scholarship-through-fair-open-access/>]

QUESTIONS AND DISCUSSION



ABSTRACT

This session is an opportunity to reflect on current Open Access policies and the shifting environment for the communication, publication and more generally production of scholarly work. I briefly present the characteristics of Plan S, its history and emergence from long-standing European work on Open Science, the ways in which it has been modified following the 2019 consultation (which received 600 responses from various stakeholders including the research community), and recent developments including a new study on Diamond publishing. I then hope to discuss with you what this means for researchers seeking to publish their work now and in the coming years.

A BAD SCENARIO

- Loss of research excellence and long-term reliability
 - Increase of burden on researchers
 - Loss of access to publicly funded research outputs
 - Disconnection between knowledge production and social role of research
 - Disincentive to international and interdisciplinary collaboration
 - Undermining of humanities and social sciences
 - Increasing divide between high-resourced and low-resourced environments (within and beyond research)
 - Lack of transparency and credibility, public trust
- **Loss of creativity and increased bureaucracy**
 - **OS demands piled on top of existing reward & evaluation system**
 - **Loss of freedom to publish**
 - **Continuing disconnection between knowledge production and social role of research**
 - **Diversity of OS measures act as disincentive to international and interdisciplinary collaboration**
 - **Even worse undermining of humanities and social sciences**
 - **Continuing to increase divide between high-resourced and low-resourced environments**
 - **Lack of understanding, public trust; opinion vs evidence**

A GOOD SCENARIO

- Loss of research excellence and long-term reliability
 - Loss of access to publicly funded research outputs
 - Disconnection between knowledge production and social role of research
 - Disincentive to international and interdisciplinary collaboration
 - Undermining of humanities and social sciences
 - Increasing divide between high-resources and low-resourced environments (within and beyond research)
 - Lack of transparency and credibility, public trust
- **Increased excellence and creativity**
 - **Sustainable free access with no charge to authors**
 - **Stronger links between knowledge production and social role of research**
 - **Strong incentives to international and interdisciplinary collaboration**
 - **Refocusing on humanities and social sciences as crucial to OS**
 - **Fostering research in low-resourced environments (within and beyond research)**
 - **Increased engagement and public trust**