Towards making full and immediate Open Access a reality: the future of Open Access policy
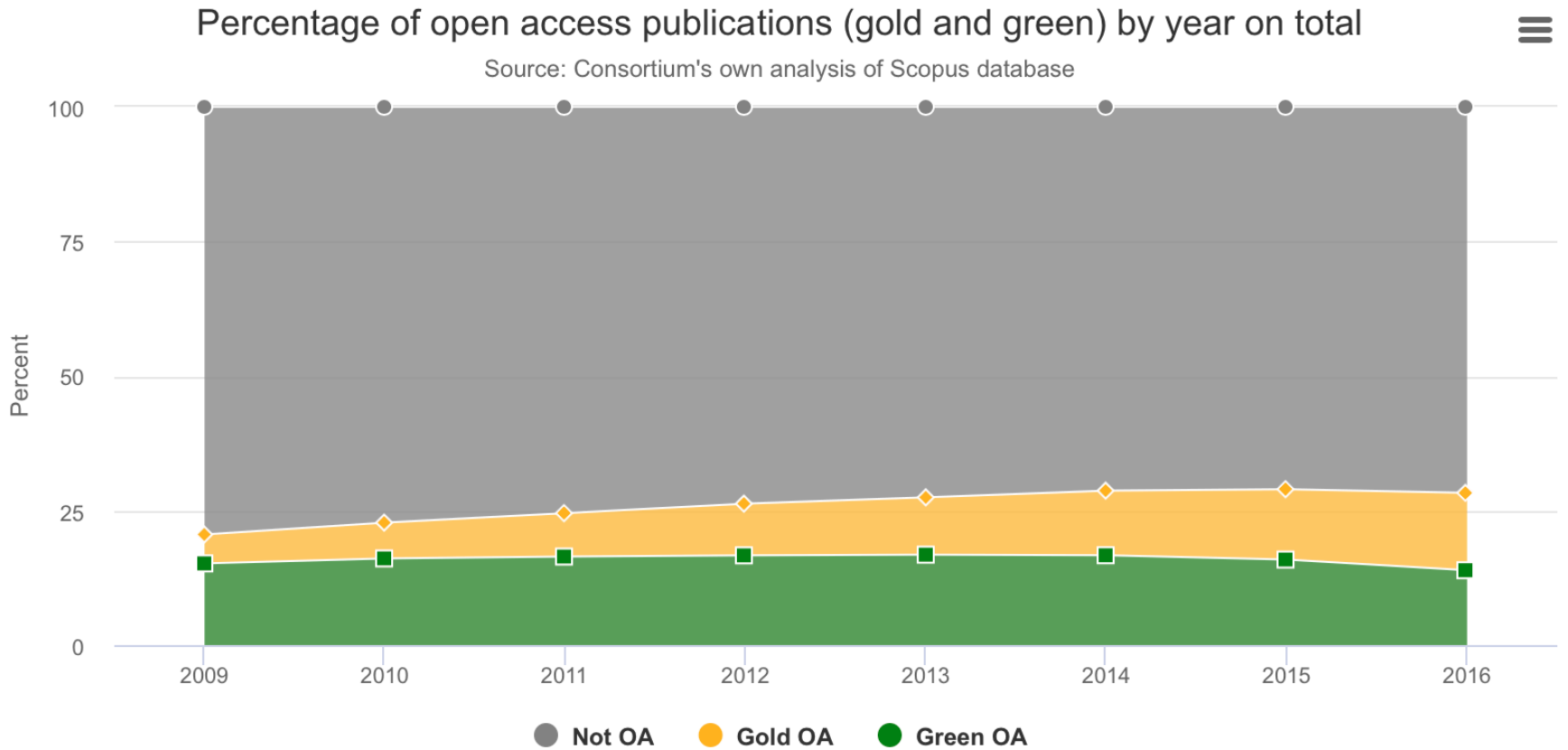
IM CAS Prague – 16 November 2020

David Sweeney, Executive Chair - Research England

- ⊙ Guiding principles
- ⊙ Current approaches
- ⊙ What changes looks like
- ⊙ Why is change needed

Principles and Declarations

- ⊙ 2002: Budapest Open Access Initiative 2002
- ⊙ 2003: Berlin Declaration 2003
- ⊙ 2013 and 2015 (updated): Science Europe Open Access Principles
- ⊙ 2016: European Council conclusions calling to reach goal of immediate Open Access by 2020
- ⊙ 2016: OA2020 Initiative

The Reality...

Percentage of open access publications (gold and green) by year on total

Source: Consortium's own analysis of Scopus database

The Open Access Envoy of European Commission's mandate

28 February 2018

- ◉ **The Council Conclusions of 27 May 2016 on the transition towards an Open Science system state that all publicly funded scientific publications should be available in Open Access by 2020;**

- ◉ **The 2020 target is an achievable but demanding target, which can only be met with a clear roadmap, efficient coordination with Member States and an active dialogue with the publishing industry and other interested stakeholders;**

- ◉ **Decision to appoint a Senior Adviser for Open Access and Innovation to report on the state of play on Open Access in the EU and third countries and to come with concrete policy recommendations for the Commission by 30 June 2019;**

You will report to me, Vice President Ansip and Vice-President Katainen.

The Motivation

> Open Access to research results is foundational to the scientific enterprise. I am glad that a core group of research funders, driven by their collective duty of care for the science system, have committed to take a decisive step to change the situation.
>
> **—Marc Schiltz**
> *President of Science Europe*

http://scieur.org/coalition-s   **#cOAlitionS**

One Main Shared Objective

"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."

cOAlition S aims for:

- ⊙ Full and immediate Open Access (OA) to publications from publicly funded research

- ⊙ Shift towards new models of academic publishing

- ⊙ A system for scholarly publications that is more transparent, efficient and fair

- ⊙ A culture that ensures that young scholars have opportunities to excel and advance their careers

- ⊙ cOAlition S invites research funders, institutions, researchers, learned societies, and publishers to work together to make this happen

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

cOAlition S: Who is Involved?

24 members from across Europe, North America, Africa and the Middle East.

National funders:
- Austria: FWF
- Finland: AKA
- France: ANR
- Ireland: SFI
- Italy: INFN
- Jordan: HCST
- Luxembourg: FNR
- Netherlands: NWO
- Norway: RCN
- Poland: NCN
- Slovenia: ARRS
- South Africa: SAMRC
- Sweden: FORMAS
- Sweden: FORTE
- Sweden: VINNOVA
- UK: UKRI
- Zambia: NSTC

Charitable foundations:
- Wellcome Trust, UK
- The Bill & Melinda Gates Foundation, USA
- World Health Organisation
- TDR
- Aligning Science Across Parkinson's (ASAP)
- Howard Hughes Medical Institute (hhmi)
- Templeton World Charity Foundation

Supported by:
- European Commission

Coordinated by:

SCIENCE EUROPE
Shaping the future of research

The 10 Principles of Plan S

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

- When Open Access publication fees are applied, their funding is standardised and capped (across Europe);
- The Funders will ask universities, research organisations, and libraries to align their policies and strategies, notably to ensure transparency;
- 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;
- 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;
- The 'hybrid' model of publishing is not compliant with the above principles;
- The Funders will monitor compliance and sanction non-compliance.

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 impact of Plan S on ECR's. 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
Australasian 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

Wilson López-
López
Pontifical Xaverian University

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
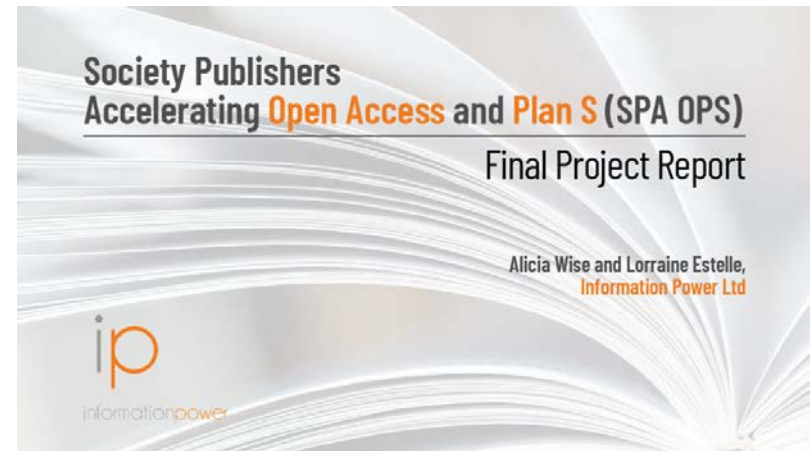Leiden University

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

Working with key stakeholders: learned societies

- Wellcome and UKRI, in partnership with ALPSP have funded a study to explore alternative business model for learned society publishers

- Key deliverables are a report containing 27 business models and strategy and a model transformative agreement with an implementation toolkit

- Expectation is that a number of Societies will use this Agreement to offer TA's as early as 2020

Society Publishers
Accelerating Open Access and Plan S (SPA OPS)
Final Project Report

Alicia Wise and Lorraine Estelle,
Information Power Ltd

ip
informationpower

Report, model Agreement and implementation toolkit to be published on 12th September

https://wellcome.figshare.com/

Working with key stakeholders: other OA initiatives

São Paulo Statement on Open Access

01/05/2019

The representatives of African Open Science Platform, AmeLICA, cOAlition S, OA2020, and SciELO – five of the major worldwide Open Access initiatives – met on 1 May 2019 during the annual meeting of the Global Research Council in São Paulo, Brazil. They are united in their common mission of making knowledge available and accessible wherever it can have the greatest impact and help solve humanity's challenges regardless of where it was produced.

The combined effect of the five initiatives has generated a new momentum in the push towards universal, full, and immediate Open Access.

The Five Initiatives Jointly State That:

> They consider that scholarly and scientific knowledge is a global public good. When generated by public funds, free access to it is a universal right.

> They share one common ultimate objective: providing universal, unrestricted, and immediate Open Access to scholarly information, including use and re-use by humans and machines.

> They share the belief that this common goal can be achieved through a variety of approaches.

> They will pursue points of alignment among their approaches and ways to co-operate towards reachin[...]

> They seek an active dialogue with all stakeholders, including researchers, research funders, universitie[...] societies, governments, and citizens to take into account the diversity of the global scholarly commun[...]

Let's make Open Access a reality!

OA2020 and cOAlition S Launch Joint Statement

09/05/2019

Joint Statement of OA2020 and cOAlition S: Research Performing and Research Funding Organizations Working Togeth[...] to Accelerate the Transition to Open Access

Over the past 20 years, many thoughtful strategies have been devised to promote open access to scholarly research publications, including development of repositories and new publishing venues. Yet, the vast majority of scholarly articles continue to be locked behind subscription paywalls of traditional scholarly journals.

Taking decisive steps toward the realisation of full and immediate open access, a global consortium of research funders (cOAlition S) have established the Plan S principles to ensure full and immediate access to all scholarly articles, whether published in subscription journals, ope[...] access journals or other platforms. In explaining why Plan S, Marc Schiltz, President of Science Europe and Chair of cOAlition S states "In the [...] century, science publishers should provide a service to help researchers disseminate their results. They may be paid fair value for the service[...] they are providing, but no scholarly outputs should be locked behind paywalls!"

In the same spirit, a global network of research performing organisations, united in the Open Access 2020 Initiative (OA2020), has voiced the ambition and developed practical approaches for a large-scale implementation of open access to scholarly journals, complementary to thei[...] efforts in support of alternative open access publishing platforms and infrastructure. "Fact-based analysis[1] shows that there is more than enough money in the subscription system worldwide to make a complete transition to open access" says Gerard Meijer, Director of the Fritz Haber Institute (FHI) of the Max Planck Society, "Where publishers have not yet embraced open access on their own, we must leverage our subscription expenditures to drive the transition."

With their common strategy aimed at removing paywalls from published research articles, cOAlition S and OA2020 work in synergy on both sides of the scholarly publishing chain to **achieve open access in scholarly journals and alternative publishing venues**.

Plan S is acting as a spur to encourage a transition to OA – as witnessed by the upsurge in transformative agreements

Timeline:

- ⦿ Plan S launched in September 2018;

- ⦿ cOAlition S invited stakeholders to give feedback on its draft implementation guidance (November 2018 - February 2019);

- ⦿ Over 600 responses received and analysed. Largest ever international consultation that has been conducted on an Open Access policy.

- ⦿ cOAlition S Leaders adopted final implementation guidelines in May 2019;

- ⦿ cOAlition S members will now start implementation;

- ⦿ Mid-term goal: change the way we assess and reward science.

Significant updates

- ◉ OA2020 and cOAlition S launch joint statement – call to withdraw support from paywall publishing and to ensure open access in scholarly research publications.

- ◉ São Paulo statement on Open Access from the five initiatives which generates new momentum towards universal, full and immediate Open Access.

- ◉ The Higher Council for Science (HCST – Jordan) joins cOAlition S – first organisation in the Middle East to do so

- ◉ The University of California System cancels subscription contract with Elsevier

- ◉ Projekt DEAL and Wiley publish the 'Publish&Read' agreement

- ◉ cOAlition S welcomes its first African member and receives strong support from the African Academy of Sciences

- ◉ Diverse and global feedback provided on the Implementation Guidance of Plan S: 600+ individuals/organisations. Analysis of feedback underway – initial analysis expected in the Spring

- ◉ Robert-Jan Smits finished his mandate. Robert Kiley (Wellcome Trust) acts as interim coordinator

- ◉ Plan S Ambassadors announced.

Significant updates continued

- World Health Organisation (WHO) and the Special Programme for Research and Training in Tropical Disease (TDR)

- Wellcome in partnership with UKRI, and on behalf of cOAlition S appoint Information Power to lead a collaborative project with publishers, funders, and universities to develop a framework to help make OA publishing services more transparent.

- Launch of report and toolkit, commissioned by Wellcome and UKRI in partnership with ALPSP, launched.

- Aligning Science Against Parkinson's (ASAP) joins cOAlition S

- Commitment from COAR and cOAlition to work together to support repositories

- South African Medical Research Council (SAMRC) joins cOAlition S.

Significant updates continued

- ⊙ Gaps report highlights why Plan S is needed
- ⊙ Transparency framework and report published by Information Power welcomed
- ⊙ Report on data needed to identify Plan S compliance published
- ⊙ Development of Plan S Journal Checker Tool – call and tender
- ⊙ Transformative Journals – update on draft framework
- ⊙ Call and subsequent proprosals for an informed study: 'Exploring collaborative non-commercial publishing models for OA'
- ⊙ Response to OA publishers statement on Transformative Journals
- ⊙ Consultation on Transformative Journals and subsequent publication of updated guidance and criteria
- ⊙ Price transparency requirements announced
- ⊙ Contribution to the UNESCO consultation – standard setting instrument on OA
- ⊙ COAR repository platform survey and results
- ⊙ NWO announced implementation guidelines for Plan S

Significant updates continued

- ⊙ Development of monitoring framework

- ⊙ Development of Rights Retention Strategy

- ⊙ ERC Scientific Council announce it wishes to pursue their joint efforts towards Open Access in a more independent way.

- ⊙ Howard Hughes Medical Institute and the Templeton World Charity join cOAlition S

- ⊙ ESF explore feasibility of procuring an online, web service (articles funded by cOAlition S organisations can upload price and service data securely which users can access and download and compare services offered by different journals and publishers)

Three routes for compliance

	Open Access publishing venues (journals or platforms)	Subscription venues (repository route)	Transition of subscription venues (transformative arrangements)
Route	Authors publish in an Open Access journal or on an Open Access platform.	Authors publish in a subscription journal and make either the final published version (Version of Record (VoR)) or the Author's Accepted Manuscript (AAM) openly available in a repository.	Authors publish Open Access in a subscription journal under a transformative arrangement.
Funding	cOAlition S funders will financially support publication fees.	cOAlition S funders will not financially support 'hybrid' Open Access publication fees in subscription venues.	cOAlition S funders can contribute financially to Open Access publishing under transformative arrangements.

- CC-BY 4.0 license required. Rights retained by author/institution
- Scholarly articles reviewed according to the standards within the relevant discipline, and according to the standards of the Committee on Publication Ethics (COPE)

Support mechanisms for establishing OA Journals/Platforms and open infrastructures

⊙ cOAlition S will:

  ⊙ commission a gap analysis of Open Access journals to identify fields and disciplines where there is a need to increase the share of OA journals.

  ⊙ collectively provide incentives for establishing OA journals/platforms or flipping existing journals to OA, in particular where there are gaps and needs.
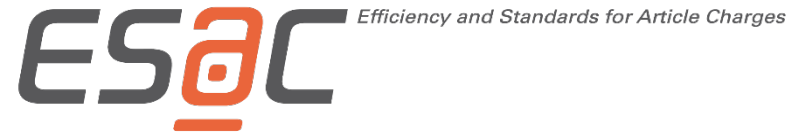
Open Access Publication fees (APCs)

- ⊙ Recognise the importance of 'fee-free' OA Journals and Platforms ('free to read – free to publish')

- ⊙ Pay a fair and reasonable APC level that reflects the costs involved in the quality assurance, editing and publishing process,

- ⊙ APC waivers for authors from low-income countries and discounts for authors from middle-income countries

- ⊙ Calls for full transparency and monitoring of Open Access publication costs and fees.

- ⊙ To help inform the potential standardisation of fees and/or APC caps, cOAlition S will commission an independent study on OA publication costs and fees (including APCs)

Transformational Agreements (APCs)

ESaC *Efficiency and Standards for Article Charges*

- ⊙ Temporary and transitional
- ⊙ Authors retain copyright
- ⊙ Agreements must be transparent
- ⊙ Aim to constrain costs of scholarly communication
- ⊙ Foster equity in scholarly publishing
- ⊙ Address the needs of authors and administrators (governance/workflow)

Open archives and repositories - requirements for authors and publishers

- ⊙ A copy of the published work must be openly available in a compliant repository under the Plan S conditions without cost for the depositor/author if it is not available in an OA journal or platform

- ⊙ Version of Record (VoR) or at least the Author's Accepted Manuscript (AAM); no embargo period; Authors/ institutions must retain copyright and articles available under CC BY 4.0 license

- ⊙ The self-archiving ('green OA') policy of the venue must be registered in Sherpa/Romeo

- ⊙ The repositories must be registered in the directory of open access repositories open DOAR or in the process of being registered.
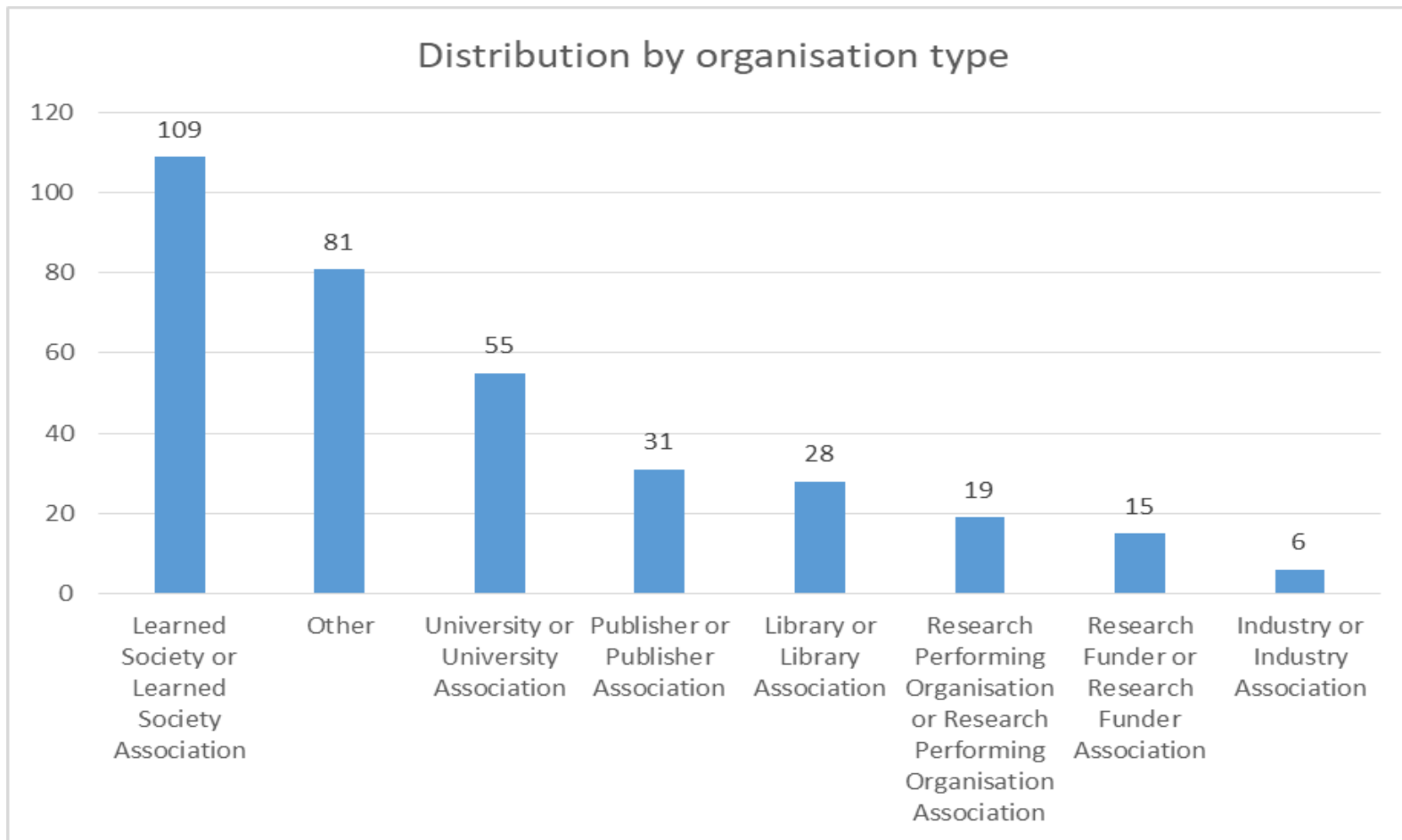
Issues raised during consultation

- ⊙ The position of the Learned Societies
- ⊙ The role of repositories
- ⊙ Changing the academic culture – DORA
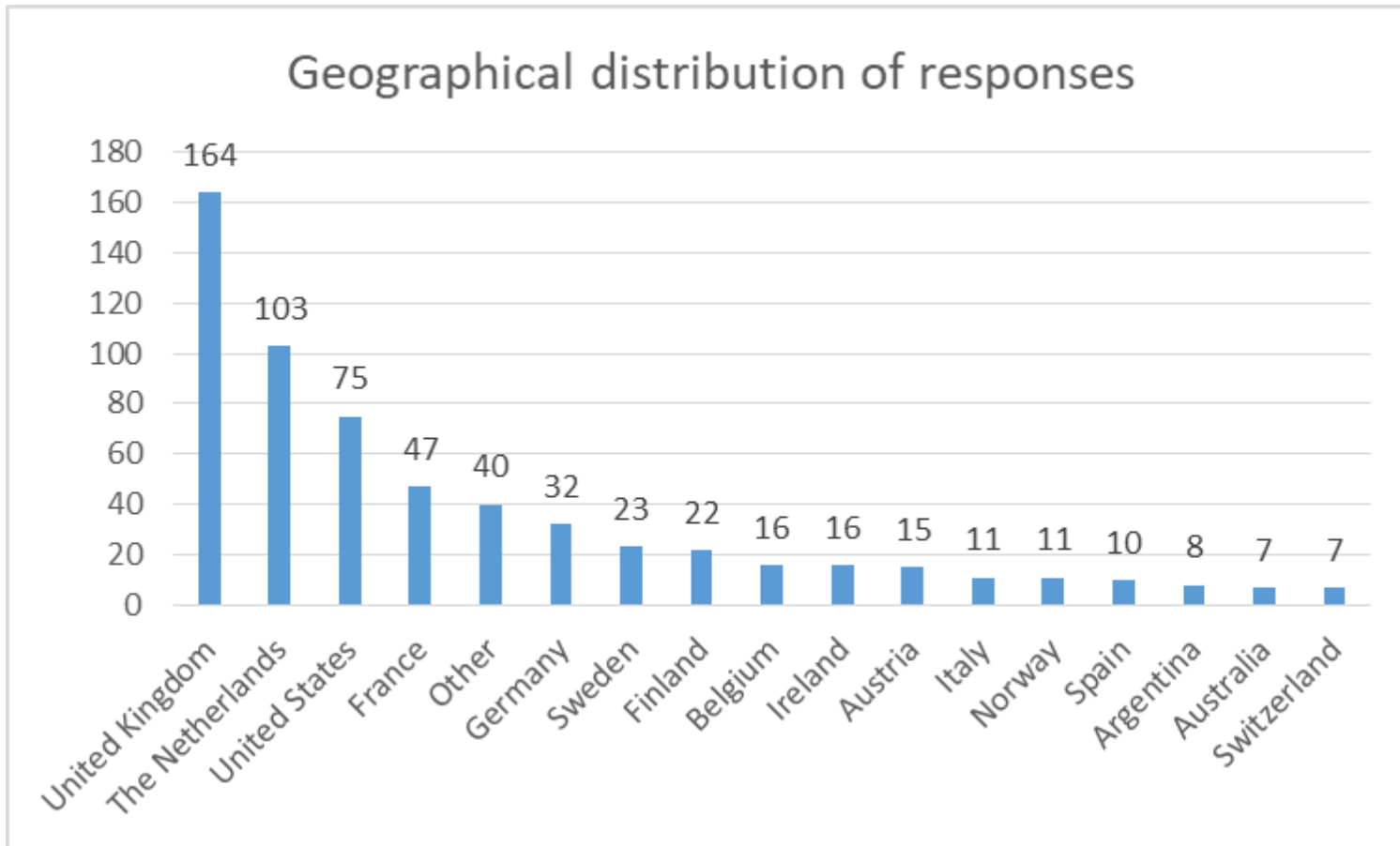- ⊙ Re-directing the money flows

Feedback Responses: 344 Institutional and 263 Individual

Distribution by organisation type

Individuals: 213 researchers, 15 librarians, 35 others

Feedback Responses:

Geographical distribution of responses

Feedback Analysis:

- ⊙ Dedicated task force reviewed feedback and updated the Plan S principles and implementation guidance. Chaired by John-Arne Røttingen, RCN, and David Sweeney, UKRI, and comprising experts from cOAlition S members;

- ⊙ Further review by cOAlition S members, external organisations, and OA experts;

- ⊙ Final approval of the revised Plan S principles and implementation guidance and by cOAlition S Leaders in May 2019.

Fundamental Principles Remain:

⊙ No scholarly publication should be locked behind a paywall;

⊙ OA should be <u>immediate</u>, *i.e.*, without embargoes;

⊙ Full OA is implemented by the default use of a Creative Commons Attribution licence (CC-BY)

⊙ Funders commit to support OA 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

Plan S Principles – Main Changes:

- cOAlition S has now become a global movement;

- Principle 5 (APC caps): focus on the transparency of prices – Funders retain the right to introduce a cap in the future;

- Hybrid OA is not compatible but as a transitional pathway towards full OA, publishing in subscription journals as part of transformative arrangements is compliant;

- The 'green route' is Plan S compliant;

- Principle 10: funding decisions should be based on the intrinsic merit of the work and not journal proxies (journal name or its impact factor).

Implementation Guidance - Main Changes:

- ⊙ Timeline extended by one year:
  - ⊙ Calls published as of 1 January 2021 onwards
  - ⊙ Transitional arrangements will be supported until 2024;

- ⊙ Options for transitional arrangements are supported (transformative agreements, transformative model agreements, and 'transformative journals')

- ⊙ Greater clarity on compliance routes:
  - ⊙ cOAlition S supports a diversity of business models
  - ⊙ Plan S is NOT just about Gold OA;

Implementation Guidance – Main Changes:

- ⊙ cOAlition S funders commit to adapt researchers' assessment criteria and will implementation principles of the San Francisco Declaration on Research Assessment (DORA);

- ⊙ Greater emphasis on the transparency of OA publication fees to inform potential standardisation and capping of payments

- ⊙ Possibility to apply for a CC-BY-ND licence (no derivatives) as an exception

- ⊙ Technical requirements for repositories revised

Other activities – Transparent Pricing

- Plan S Guidance specifies:
  "*cOAlition S, in partnership with publisher representatives and other stakeholders, will define the various services (e.g., triaging, peer review, editorial work, copy editing) publishers will be asked to price.*"

- Wellcome - in partnership with UKRI and on behalf of cOAlition S - have appointed Information Power to lead a collaborative project to develop a framework for these communications

- cOAlition S aims to help make the nature and prices of OA publishing services more transparent, and to enable conversations and comparisons that will build confidence amongst customers that prices are fair and reasonable

- The project will <u>not</u> explore costs, nor current or future pricing.

Other activities – cOAlition S Secretariat

- ⊙ Establishing a formal cOAltion S Secretariat /Office to ensure that we can appoint staff, award contracts etc to take forward the work associated with the implementation of Plan S

- ⊙ Budget defined – which will be funded by cOAlition S members who are able to make a financial contribution
  - ⊙ No obligation for cOAlition S funders to make a financial contributions

- ⊙ Office expected to be up and running by January 2020

Other activities

Priority actions for cOAlition S – from June 2019

We acknowledge that there is a wide range of work to be done to implement Plan S, some of which is noted at various points in the revised implementation guidance. We have identified the following priorities for the next few months:

01 Appoint an Open Access Champion who will promote Plan S to research funders and other stakeholders.

02 Establish the cOAlition S Secretariat and develop a budget to take work forward.

03 Convene meetings of the existing members of cOAlition S, to share insights and address challenges in implementing Plan S.

04 Work together to articulate a vision for the long term future of Open Access.

05 Set up a task force to develop a framework to monitor the effects of Plan S on the research and scholarly communication ecosystems.

06 Set up a task force to identify where it is difficult to comply with Plan S, consider how to address these issues, and provide reliable information to researchers on how they can align with Plan S.

07 Work with publishers, societies, consortia, and others to develop clearer approaches to transformative arrangements towards full and immediate Open Access.

08 Work with publisher representatives and other stakeholders to define the various services (e.g., triaging, peer review, editorial work, copy editing) publishers will be asked to price.

09 Begin discussions to explore the best ways to implement rights retention for authors and institutions, recognising national, disciplinary, and other differences.

https://www.coalition-s.org/workplan/

Why Support Plan S

1. To democratise access to publicly funded knowledge: not a single person should be left behind

2. To optimise the dissemination and exploitation of knowledge by allowing others (including machines) to build on the results of their peers and to allow all researchers to access knowledge generated in other parts of world

3. To show that you are eager to serve mankind with your knowledge

Further Details:

- ⊙ Revised Plan S principles and implementation guidance: http://bit.ly/2M3Z6E3

- ⊙ Rationale for the revisions made to the Plan S principles and implementation guidance: http://bit.ly/2JYVTmu

- ⊙ cOAlition S participating funders: http://bit.ly/2M5XSZ0

For More Information:

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Thank you for your attention!