Discussing Plan S: Open access potential across disciplines

NWO Consultation meeting, January 31, 2019
Bianca Kramer & Jeroen Bosman, Utrecht University Library

tinyurl.com/NWO-PlanS-sizes
Plan S compliance for publications: 3 main routes

<table>
<thead>
<tr>
<th>Open Access journals or Open Access platforms</th>
<th>Deposition of scholarly articles in Open Access repositories</th>
<th>Transformative agreements</th>
</tr>
</thead>
<tbody>
<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>
</tr>
</tbody>
</table>

= full gold (incl. diamond) = green (self archiving) = hybrid

Requirements for all routes:
- Immediate OA (upon publication)
- CC-BY license (or CC0 or CC-BY-SA)
- Full copyright retention
Working towards Plan S compliance: many options

- **full gold (incl. diamond)**
  - existing/new APC gold journal / platform
  - flipping journals to APC gold (by publishers/editors)
  - flipping journals to non-APC gold (diamond) (by publishers/editors)

- **hybrid**
  - hybrid journal in transformative deal (temporary route)
  - CC-BY OA in hybrid journal & self-archiving the published paper

- **green (self archiving)**
  - archiving publisher version, upon publication, CC-BY
  - archiving accepted manuscript (AAM) upon publication, CC-BY
  - sharing preprints and using overlay PR

accompanying blog post: [tinyurl.com/nine-routes](tinyurl.com/nine-routes)
# Nine routes towards Plan-S compliance (based on the 20181127 guidance document)

<table>
<thead>
<tr>
<th>routes to Plan S compliance</th>
<th>A. existing/new APC gold journal / platform</th>
<th>B. existing/new non-APC gold journal / platform (diamond)</th>
<th>C. flipping journals to APC gold (by publishers or editors)</th>
<th>D. flipping journals to non-APC gold (diamond), by publishers or eds.</th>
<th>E. hybrid journal in transformative deal (temporary route)</th>
<th>F. CC-BY OA in hybrid journal &amp; self archiving the published paper</th>
<th>G. archiving publisher version, on publication, CC-BY</th>
<th>H. archiving AAM, on publication, CC-BY</th>
<th>I. sharing preprints and using overlay PR</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. compliant?</td>
<td>yes</td>
<td>yes</td>
<td>yes</td>
<td>yes</td>
<td>yes</td>
<td>yes</td>
<td>yes</td>
<td>yes</td>
<td>unsure</td>
</tr>
<tr>
<td>2. example</td>
<td>PLoS, 100ks more</td>
<td>Open Library of Humanities, 1000s more</td>
<td>Epidemiology &amp; Infection, 100s more</td>
<td>Scoap²</td>
<td>(no transformative deals yet?)</td>
<td>all hybrid journals allowing CC-BY</td>
<td>(MNRAS, APS journals)¹</td>
<td>Royal Society, (Emerald journals)¹</td>
<td>SciPost</td>
</tr>
<tr>
<td>3. current use / availability</td>
<td>sizeable amount</td>
<td>limited</td>
<td>very limited</td>
<td>very limited</td>
<td>none yet?</td>
<td>sizeable amount</td>
<td>limited</td>
<td>limited</td>
<td>very limited</td>
</tr>
<tr>
<td>4. effect on publishers</td>
<td>gold publ. win, evt. decreasing subscriptions</td>
<td>more competition / perhaps evt. decreasing subscriptions</td>
<td>change in business model / profl. for high rejection</td>
<td>new partnerships or loose journals to funders/institutions</td>
<td>need to change business model</td>
<td>journals keep role if CC-BY is allowed</td>
<td>evt. decreasing subscriptions, need to solve sustainability?</td>
<td>keep large part of perceived value</td>
<td>change publishing model or loose out</td>
</tr>
<tr>
<td>5 effect on researchers</td>
<td>away from trad. venues and IF-thinking</td>
<td>away from trad. venues and IF-thinking</td>
<td>depends on (funding for) APC</td>
<td>none</td>
<td>limited effect</td>
<td>almost no restriction on journal choice, but need to pay APC</td>
<td>small effort</td>
<td>small effort, accept limitations</td>
<td>adapt to new idea</td>
</tr>
<tr>
<td>6. effect on libraries</td>
<td>away from hybrid deals &amp; IF-thinking</td>
<td>away from hybrid deals &amp; IF-thinking</td>
<td>limited</td>
<td>potential role in funding</td>
<td>(help) negotiate transformative deals</td>
<td>current type read &amp; publish deals remain relevant</td>
<td>role insofar as hosted in IR / cancel subs evt.</td>
<td>continued role, esp. hosting in inst. repo</td>
<td>chance to play role in curation</td>
</tr>
<tr>
<td>7. effect on funders</td>
<td>supporting (own) platforms / lower APC levels?</td>
<td>supporting (own) platforms / lower APC levels?</td>
<td>depends on APC levels / pot. role in funding</td>
<td>lower average APC levels / pot. role in funding</td>
<td>depends on who pays APCs during the deal</td>
<td>no financial burden / no reduction of role hybrid</td>
<td>no financial gain</td>
<td>no financial gain</td>
<td>adapt to new idea, change assessment</td>
</tr>
<tr>
<td>8. effect on societies</td>
<td>big, because of subscription dependance</td>
<td>big, because of subscription dependance</td>
<td>change in business model / profl. for high rejection</td>
<td>change in business model / profl. for high rejection</td>
<td>need to change business model</td>
<td>journals keep role if CC-BY is allowed</td>
<td>evt. decreasing subscriptions?</td>
<td>evt. decreasing subscriptions?</td>
<td>limited role, perhaps in quality assurance?</td>
</tr>
<tr>
<td>9. effect on editors of trad. jnl.</td>
<td>fewer submissions, lower status</td>
<td>fewer submissions, lower status</td>
<td>none (or big role in leading flip)</td>
<td>none (or big role in leading flip)</td>
<td>none</td>
<td>none</td>
<td>none</td>
<td>none</td>
<td>new role in overlay journals?</td>
</tr>
<tr>
<td>10. overall pub cost</td>
<td>depends on market / funding sources</td>
<td>depends on market / funding sources</td>
<td>depends on market / funding sources</td>
<td>remains high at least until deal has effect</td>
<td>remains high</td>
<td>remains high</td>
<td>remains high</td>
<td>remains high</td>
<td>substantially lower?</td>
</tr>
<tr>
<td>11. fits changes in assessment</td>
<td>+</td>
<td>+</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>++</td>
</tr>
</tbody>
</table>

¹ these examples allow immediate sharing but not with CC-BY and copyright retention yet

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Jeroen Bosman & Bianca Kramer, 20181130, accompanying post: tinyurl.com/nine-routes
Working towards Plan S compliance: many options

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<th>Full gold (incl. diamond)</th>
<th>Hybrid</th>
<th>Green (self archiving)</th>
</tr>
</thead>
<tbody>
<tr>
<td><a href="#">Collabra: Psychology</a></td>
<td><a href="#">VSNU</a></td>
<td><a href="#">OpenEdition*</a></td>
</tr>
<tr>
<td><a href="#">Journal of Cheminformatics</a></td>
<td><a href="#">edp Sciences</a></td>
<td></td>
</tr>
<tr>
<td><a href="#">Open Library of Humanities</a></td>
<td>Many hybrid journals</td>
<td><a href="#">THE ROYAL SOCIETY</a></td>
</tr>
<tr>
<td><a href="#">NATURE COMMUNICATIONS</a></td>
<td></td>
<td>Discrete Analysis</td>
</tr>
<tr>
<td><a href="#">SCOAP³</a></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* OpenEdition is not a flip from hybrid but from closed journals with a moving wall

accompanying blog post: tinyurl.com/nine-routes
Potential, uptake and gaps for various (sub)disciplines in NL

NB These data do not reflect all Plan S criteria yet (such as CC-BY, copyright retention, no embargo)

see also: https://101innovations.wordpress.com/2018/12/05/oa-potential-journals-and-publications-across-disciplines/
Potential, uptake and gaps for various (sub)disciplines in NL

see also: https://101innovations.wordpress.com/2018/12/05/oa-potential-journals-and-publications-across-disciplines/
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Physical Sciences and Technology

see also: https://101innovations.wordpress.com/2018/12/05/oa-potential-journals-and-publications-across-disciplines/
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Ways to increase Plan S compliance

- Flipping: allowing green OA in other journal.
- OA in other journal.
- OA in same journal.

Journals (publishers):
- Closed (green not allowed)
- Closed (green allowed)
- Hybrid (green allowed)
- Hybrid (green not allowed)
- DOAJ Gold

Articles (authors):
- Closed in closed journal
- Green in closed journal
- Green in hybrid journal
- Closed in hybrid journal
- Green in hybrid journal
- DOAJ Gold
- OA in other journal
- OA in same journal
In conclusion

1. Almost all routes to Plan S compliance are already used

2. Available open access options have unused potential

3. Researchers, publishers, institutions & libraries can act
Dear cOAlition S,

Our institution (....) worries about effects of Plan S on our options to publish. Over the last 4 years (2015-2018) our researchers (co-)authored .... peer reviewed articles/reviews etc. in these journals: ...... Of all those papers, ..% was funded by one of the cOAlition S partners. Over the coming 4 years, if we would publish in the same journals, ..% would be in hybrid journals that would probably be under a read & publish, publish & read or full transformative deal. Of 2015-2018 papers ..% was closed in a hybrid journal, ..% closed in a fully closed journal, ..% available immediately through our repository, ..% available openly in a hybrid journal and ..% available in a full OA journal.

On average we paid an APC of ....€ for the papers in full OA journals and a mean APC of ....€ for the open access papers in hybrid journals. Since 20.. we have an open access policy that stipulates that .... The compliance with that policy has been .... This policy has helped the open access level of our publications to grow from ..% in 2015 to ..% in 2018. Based on that growth we expect to see our OA level grow to 90% within the next .. years. Considering the above, we advise cOAlition S to .... By the way, we generated this data within one day.
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Backup slides (not presented)
It is up to individual funders to start the policy with either new calls, new grants or also ongoing grants.
### Implications for researchers: current deals

- **Current deals VSNU (incl. UU):**
  - American Chemical Society 2019-2021
  - Cambridge University Press 2017-2019
  - DeGruyter (for subscribed titles) 2016-2019
  - Elsevier (30% of their journals) until July 2019
  - Emerald 2016-2020
  - Karger 2016-2021
  - Lippincott Williams & Wilkins 2017-2019
  - Royal Society of Chemistry no deal
  - Sage 2017-2019
  - Springer 2018-2021
  - Taylor & Francis 2018-2020
  - Wiley 2016-2019

- **In theory, a ‘loophole’ remains, even without transformative deals:**
  - self-finance hybrid OA with copyright retention + CC-BY, and self-archive immediately in a compliant repository.
Use of open licenses

2017 research output of Dutch universities in Web of Science, OA-type and license checked in Unpaywall

All disciplines

- cc0
- cc-by
- cc-by-nc
- cc-by-nc-nd
- cc-by-nc-sa
- implied-oa
- publisher
- none

All disciplines

- cc0
- cc-by
- cc-by-nc
- cc-by-nc-nd
- cc-by-nc-sa
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All disciplines

- cc0
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- cc-by-nc
- cc-by-nc-nd
- cc-by-nc-sa
- implied-oa
- publisher
- none
Use of open licenses, by discipline

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## Overview of types of open access

<table>
<thead>
<tr>
<th>type</th>
<th>preprint</th>
<th>gold (incl. diamond)</th>
<th>hybrid-gold</th>
<th>green</th>
</tr>
</thead>
<tbody>
<tr>
<td>who?</td>
<td>author</td>
<td>publisher</td>
<td>publisher</td>
<td>author</td>
</tr>
<tr>
<td>where?</td>
<td>preprint archives</td>
<td>~10K open access journals</td>
<td>many subscription journals</td>
<td>institutional repository</td>
</tr>
<tr>
<td>when?</td>
<td>before/around submission to jrnl</td>
<td>simultaneous with publication</td>
<td>simultaneous with publication</td>
<td>upon acceptance, but often embargo</td>
</tr>
<tr>
<td>costs?</td>
<td>free</td>
<td>0-4000 USD</td>
<td>~1000-6000 USD</td>
<td>free</td>
</tr>
<tr>
<td>fulfill funder req.?</td>
<td>mostly not</td>
<td>always, but (possibly) affected now</td>
<td>always, but discussed now</td>
<td>often, but often not if embargoed</td>
</tr>
<tr>
<td>funding</td>
<td>n.a.</td>
<td>sometimes funder, UU OA fund 50%</td>
<td>sometimes funder / included in big deals</td>
<td>n.a.</td>
</tr>
<tr>
<td>license/copyright</td>
<td>choose CC-license, copyright retained</td>
<td>choose CC-license, often keep copyright</td>
<td>often CC in exclusive license for publisher</td>
<td>often none?</td>
</tr>
</tbody>
</table>