

# Plan S compliance for Open Access Journals - what we know so far and where we think we're heading

---

Dom Mitchell, DOAJ

OpenAIRE Webinar  
Open Access Week 2019

# Plan S compliance for ~~Open Access~~ Journals and Platforms - what we know so far and where we think we're heading

---

Dom Mitchell, DOAJ

OpenAIRE Webinar  
Open Access Week 2019

# Background



## National funders



## Charitable and international funders



## European funders



# Fundamental principles

- **No scholarly publication** should be locked **behind a paywall**;
- Open Access should be **immediate** i.e., without embargoes;
- Full Open Access is implemented by the default use of a **Creative Commons Attribution CC BY licence**;
- Funders commit to support Open Access **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.

## May 2019

cOAlition S put out revised [details of their Plan S for making Open Access an immediate reality](#) for *scholarly articles*.

- How would journals would become compliant in the short time available (originally 2020, now 2021) and what was required of them to achieve that?
- Indexation in DOAJ is only one criteria of many. There are other, new criteria which are additional to the DOAJ ones. What are those extra Plan S criteria and how might they be measured?
- What is the difference is between DOAJ certification and Plan S certification?

## **Part 1**

What does the guidance say and what changes might journals and platforms anticipate?

## **Part 2**

What might the certification process look like at DOAJ and what is the difference between DOAJ certification and Plan S certification?

## **Part 3**

Why wait? Things to start now

## **Part 4**

What's next?

## Part 1 - What does the guidance say and what changes might journals and platforms consider\*?

**\*HUGE DISCLAIMER: my suggestions and not guaranteed steps to achieve Plan S certification**



## Guidance is split into 5 sections

1. Introductory section
2. **Mandatory conditions - all publication venues**
3. **Mandatory technical conditions - all publication venues**
4. **Strongly recommended additional criteria - all publication venues**
5. **Specific conditions - Open Access journals and Open Access publishing platforms**

## Business models

‘All scholarly articles that result from research funded by members of cOAlition S must be openly available immediately upon publication **without any embargo period.**’

### Action:

- get funding information into article metadata to identify articles funded by cOAlition S funders;
- remove embargo periods from your websites;
- update agreements/licenses and website information.

## REMEMBER

Publishers and journals are not asked to make these changes for DOAJ, for Plan S, for the EU, for funding agencies....

**These changes are for users:** information about the journal's policies, practices, business processes must be available to readers and authors...

And they must be easy to find, easy to read, easy to understand so...

Users understand immediately and easily what content is available to them, who is making it available and what they can do with that content.

## Business models

'not... support 'hybrid' Open Access publishing **when such fees are not part of transformative arrangements'**

### Action:

- register the journal under a transformative agreement at ESAC  
<https://esac-initiative.org/about/transformative-agreements/>
- update the website

## Business models

‘The journal/platform must either enable authors to **publish with immediate and permanent Open Access** (without any kind of technical or other form of obstacles)... or to **deposit the AAM or VoR in an Open Access repository** at no extra cost and under an open license

### Action:

- change the authentication models on the website;
- think about workflows between Manuscript Submission System (MSS)/editorial office and repositories & website;
- update site literature, publishing/ authorship agreements, licenses

## Business models

‘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.**’

### Action:

- be prepared to itemise publishing costs on your website at journal level (at publisher level as a minimum)
- If you have that information now, get it onto your journal website(s)

## Publishing best practices

‘have a **solid system in place for review** according to the standards within the relevant discipline and **guided by the core practices and policies** outlined by the Committee on Publication Ethics (COPE).’

### Action:

- read <https://publicationethics.org/core-practices> and make sure you have publicly available documentation stating the peer review policy.

**The journal does not need to be a member of COPE!**

## Publishing best practice

‘a detailed description of its **editorial policies and decision-making processes**.  
In addition, at least **basic statistics** must be published annually’

### Action:

- document and make public all editorial processes;
- start collecting and publishing statistics on
  - The number of submissions
  - The number of reviews requested
  - The number of reviews received
  - Approval rate
  - Average time between submission and publication

Talk to your manuscript submissions system (MSS) provider now.



## Copyright

‘The journal/platform must accept the **retention of copyright by the authors or their institutions**, at no extra cost...

### Action:

- update your copyright forms so copyright remains with the authors;
- update the website, making sure there are no conflicting copyright statements;
- state clearly what range of the content the new copyright terms apply to;
- go back and get updated copyright agreements for content already published.

## Licensing

‘...the publication must be openly available immediately with a **Creative Commons Attribution license (CC BY)** unless an exception has been agreed by the funder.’

### Action:

- get CC licenses for your content / change licenses to CC BY, CC BY-SA or CC0 (CC BY-ND by special request only);
- update agreements/licenses, website information
- be sure to state clearly what range of content the CC license applies to and what the licensing terms are of the content not covered by CC licenses
- avoid copyright/licensing clash!

**Question:** what happens when CC licences are disallowed?



## Licensing and self-archiving

‘...must allow the author/institution to make either the Version of Record (VoR), the Author’s Accepted Manuscript (AAM), or both versions available under **an open license (as defined below) via an Open Access repository, immediately upon publication.**’

### Action:

- decide if the journal will facilitate this as an author service;
- establish the workflows between journal and repositories
- update your publishing/author agreements;
- update the website to clearly state the policy;
- update copyright and licensing pages, watching out for conflicting statements;
- **register the policy with SHERPA/RoMEO (strongly recommended);**

## Permanent Identifiers

### Article identifiers

‘**Use of persistent identifiers** (PIDs) for scholarly publications (**with versioning**, for example, in case of revisions), such as DOI (preferable), URN, or Handle.’

### Action:

- register for a PID with an agency or via a sponsor; en
- set up the workflow to handle PIDs correctly, incl. getting them in metadata;
- make sure PIDs are deposited and resolving correctly;
- enable versioning on the website, in PDFs, at the PID registry.

**Question:** what about other IDs, like ARK?

## Permanent Identifiers

### Author identifiers (strongly recommended)

‘Support for **PIDs for authors** (e.g., ORCID), funders, funding programmes and grants, institutions, and other relevant entities’

### Actions

- start asking authors to register with these schemes or find out what their IDs are;
- get that information into the manuscript workflow;
- get that information into the metadata workflow;
- display that information on the website against every article [and in PDFs?]

## Archiving and preservation

‘Deposition of content with a **long-term digital preservation or archiving (LTDPA) programme**’

### Action:

- start contract negotiations with a LTDPA service now - it can take time to get the content actively deposited in a programme; (don't assume your platform will do this for you)
- decide what range of content will be archived.

## Article metadata

‘High-quality article level metadata in **standard interoperable non-proprietary format, under a CC0 public domain dedication.**’

### Action:

- make metadata available in an open format;
- update website with statement reflecting that all article metadata from the journal is available in the “public domain” or with “no rights reserved” (<https://creativecommons.org/share-your-work/public-domain/cc0/>);
- update publishing/author agreements, copyright statements and licensing statements.
- be sure there are no conflicting statements

**Question:** what does cOAlition S count as a standard, interoperable, non-proprietary format?

## Article metadata

‘Metadata must include **complete and reliable information on funding** provided by cOAlition S funders (including as a minimum **the name of the funder and the grant number/identifier**).’

### Action:

- Make space for funding information in MSSs or the like;
- start asking authors to retrieve and declare their funding information when they submit papers;
- incorporate that information into MSS and display on websites.



## Article metadata

‘Machine-readable information on the Open Access status and the license embedded in the article, in standard non-proprietary format.’

### Action:

- get that information into the manuscript workflow;
- get OA status and license information into the metadata workflow;
- embed/display that information on the website against every article [and in PDFs?]

**Questions:** does it really mean ‘embedded’ here or is displaying enough?  
What formats are acceptable here?

## Article metadata (strongly recommended)

‘...download of full text for all publications (including supplementary text and data) in a machine-readable community standard format such as JATS XML’

### Action:

- get full text into JATS;
- talk to your digital content vendor now;
- start sending your supplementary text and data for conversion;
- get these up on the web site;
- update licensing, copyright, publishing/author agreements

**Question:** what other formats apart from JATS will be acceptable?

## Publishing best practice (strongly recommended)

‘OpenAIRE compliance of the metadata’ [[https://guidelines.openaire.eu/wiki/Main\\_Page](https://guidelines.openaire.eu/wiki/Main_Page)]

**Action:** ???

**Questions:** what does cOAlition S really mean here? The OpenAIRE guidelines refer primarily to repositories. What aspects of compliance will be looked for?

‘Linking to data, code, and other research outputs that underlie the publication and are available in external repositories.’

**Action:** ???

**Questions:** which repositories? (Is Dropbox considered OK?) Is there a particular format required?

## Publishing best practice (strongly recommended)

‘**Openly accessible data on citations** according to the standards by the [Initiative for Open Citations](#) (I4OC).’

**Action: ???**

### Questions:

- which standards exactly are being referred to? Is it ‘structured, separable, and open’?
- Is it enough to simply declare that article metadata is available under a CC0 license?
- Do you have to be a member of Crossref?
- Do you have to become a signatory of I4OC?

## Author services (strongly recommended)

‘**Direct deposition of publications** (in a machine-readable community standard format and including complete metadata) **by the publisher** into author designated or centralised **Open Access repositories that fulfil the Plan S criteria.**’

### Action:

- start asking for this information upon acceptance, in publishing/author agreements;
- start working with Plan S compliant repositories to establish what a successful deposit looks like;
- update the website.

**Questions:** when will a list of Plan S compliant repositories be available and where from? What other metadata formats will be acceptable?

## **Part 2 - What might the certification process look like at DOAJ and what is the difference between DOAJ certification and Plan S certification?\***

**\*HUGE DISCLAIMER: whether or not DOAJ will be actively involved in the collection of Plan S certification criteria is unconfirmed.**

## Plan S certification

Plan S certification will be separate to DOAJ certification.

It will be possible **to be indexed in DOAJ (and even have the Seal!) but not apply for Plan S certification.**

For journals not in DOAJ or Plan S compliant, **it will be possible to apply for both at the same time.**

For journals already in DOAJ, **it will be possible to apply for Plan S certification.**

**It is not be possible to be Plan S compliant but not DOAJ compliant** because one of Plan S' criteria is that a journal must be indexed in DOAJ.

We will not be undertaking a re-application style project like the one in 2015 where we made everyone apply again to remain indexed.

## **Part 3 - Why wait? Things to start now**



## My suggestions for other things to start on now

### 1. **Communications**

Start talking to stakeholders to get buy-in: publishers, editors, societies, members, authors, subscribers, consortia, 3rd party vendors (mss, content converters, website hosts), talk to legal dept. about contractual changes, talk to finance about budgets.

### 2. **DOAJ**

If it's already open access, submit your journal to DOAJ for DOAJ indexing now! Talk to DOAJ about copyright and licensing, if you need to. [We can help you!](#)

### 3. **Content strategy**

Decide on your content strategy: when you make changes to licensing and copyright statements, implement archiving and preservation programmes, PIDs etc, decide what content will be covered? All of it, back archive material too? Only going forward from 2020, 2021?

### 4. **Partners**

Start negotiations with the 3rd party services (repositories, PIDs, archiving services etc) mentioned in these slides, particularly SHERPA/RoMEO!

## Part 4 - What's next?

## What's next from cOAlition S?

A consultant has just been appointed by Plan S to start **the data review**.

At some point **a final set of compliant data**, how they will be exposed and where, will be determined.

cOAlition S is commissioning **task forces** to deep dive into some of the areas. For example:

- [Support for society publishers](#)
- 'a gap analysis of Open Access journals/platforms to identify fields and disciplines where there is a need to increase the share of Open Access journals/platforms.'

'by the end of 2021, [cOAlition S will] issue a statement on Plan S principles as they apply to **monographs and book chapters**, together with related implementation guidance'

'cOAlition S will support the development of **a tool that researchers can use to identify whether venues fulfil the requirements**.'

'cOAlition S will develop or adopt **a model 'License to Publish'** for their grantees.'

## What's next from cOAlition S?

Expect **a lot more discussion** with 'major research funders world-wide in order to foster alignment with the Plan S guidelines among collaborating authors' particularly with Latin America whose own AmeliCA is very different to Plan S.

cOAlition S will establish **on-going monitoring** to maintain transparency and a clear understanding of costs and prices. Caps might be implemented.

Where journals receive funding from cOAlition S members to support publication fees, that funding will cease 31st December 2024.

'Before the end of 2024, ... **a formal review process** that examines the requirements, effects, and impact of Plan S.'

## What's next from DOAJ?

### Three promises

1. We will continue to push important questions of clarification to cOAlition S on behalf of publishers
2. We will make the site and supporting literature accessible, responsive, easy to read and more user-friendly.
3. We will implement a simple and user-friendly application form

Follow us at <https://blog.doaj.org> and <https://twitter.com/DOAJplus> to keep up to date with developments

# Thank you!

Dom Mitchell: [dom@doaj.org](mailto:dom@doaj.org)

## Our Gold Sponsors

**EBSCO**

