

Facilitating Plan S policy in your institution

Plan S Principle	Key themes for Unis	What universities can do
<p>Principle 1: Authors or their institutions retain copyright to their publications. All publications must be published under an open license, preferably the Creative Commons Attribution license (CC BY), in order to fulfil the requirements defined by the Berlin Declaration;</p>	<ul style="list-style-type: none"> • Copyright • Open licenses • Content ownership & control • Challenges for researchers • Content (article content, data, etc) are the crown jewels of research outputs at your institution 	<ol style="list-style-type: none"> 1. Work closely with libraries 2. Do not tolerate pushback from external 3rd parties causing compliance difficulties for researchers - involve Legal Services if necessary 3. Work with Legal Services for advice on author's rights retention (to benefit authors, not publishers) 4. Raise awareness of copyright & licensing with authors 5. Adopt an institutional copyright & rights retention policy ensuring rights remain with authors
<p>Principle 2: The Funders will develop robust criteria and requirements for the services that high-quality Open Access journals, Open Access platforms, and Open Access repositories must provide;</p>	<ul style="list-style-type: none"> • Technical requirements targeted at infrastructure • Affects internal services that integrate with repository eg CRIS • Includes 'soft' requirements such as 'helpdesk' 	<ol style="list-style-type: none"> 1. Where available use funds to ensure an excellent institutional repository service (inc support for staff) 2. Register repository in OpenDOAR https://v2.sherpa.ac.uk/opensoar/ and monitor progress towards requirements 3. Insist on high quality consistent metadata across all university services eg name authority, FunderID https://www.crossref.org/services/funder-registry/, Research Organization https://ror.org/ 4. Implement institutional ORCID service and strongly encourage use at all possible junctures https://orcid.org/ 5. Work with researchers who run their own journals, especially internally
<p>Principle 3: In cases where 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</p>	<ul style="list-style-type: none"> • Potential support for repositories • Local small publishers (eg academics running small journals) • Journal editors and editors in chief • Consider innovative publishing 	<ol style="list-style-type: none"> 1. Build & improve the local institutional repository service. Use funding if available 2. Promote Diamond OA opportunities to researchers and promote the Diamond Action Plan https://www.coalition-s.org/action-plan-for-diamond-open-access/ 3. Familiarise themselves with and promote the SPA-OPS Toolkit to foster Open Access Agreements for society publishers https://www.informationpower.co.uk/spa-ops-project/ 4. Engage local editors & editors in chief to find solutions for

	models	promoting open science and author rights
<p>Principle 4: Where applicable, Open Access publication fees are covered by the Funders or research institutions, not by individual researchers; it is acknowledged that all researchers should be able to publish their work Open Access;</p>	<ul style="list-style-type: none"> ● Paying OA publication fees ● Diversity of routes to OA ● Diversity of OA solutions 	<ol style="list-style-type: none"> 1. Provide support so that authors know how to tap into funding where available & use Journal Checker Tool https://journalcheckertool.org/ 2. Ensure researchers are fully aware of repository solution for OA and to retain their rights 3. If block grant model, open discussions around fair and equitable use of a finite pot of money 4. Be aware where funders' money can be used to support non-APC models of OA services (eg S2O) and actively support alternatives to encourage diversity
<p>Principle 5: The Funders support the diversity of business models for Open Access journals and platforms. When Open Access publication fees are applied, they must be commensurate with the publication services delivered and the structure of such fees must be transparent to inform the market and funders potential standardisation and capping of payments of fees;</p>	<ul style="list-style-type: none"> ● Diversity of business models for OA ● Ensuring fair and reasonable prices ● Price transparency ● Journal Comparison Service (JCS) 	<ol style="list-style-type: none"> 1. Make researchers aware of price of OA publishing 4 x Nature articles = 1 PostDoc for 1 year 2. Monitor additional non-publication charges such as page and colour charges 3. Open discussions on value for money 4. Monitor JCS; Press for transparency with providers 5. Raise awareness of alternative models eg diamond journals (see DOAJ https://doaj.org/) 6. Support financially alternative publication options eg SciPost https://scipost.org/, S2O https://subscribetoopencommunity.org/, PCI (Peer Community In) https://peercommunityin.org/
<p>Principle 6: The Funders encourage governments, universities, research organisations, libraries, academies, and learned societies to align their strategies, policies, and practices, notably to ensure transparency.</p>	<ul style="list-style-type: none"> ● Align policies with Plan S goals ● Ensuring transparency ● Best practice & direction of travel ● Institutional rights retention policies 	<ol style="list-style-type: none"> 1. Review university policies relating to open science and work with Legal Services to assist researchers with openness 2. Familiarise members with key policies and be aware of direction of travel (UNESCO, EUA, etc) eg The new university Open Access checklist (EUA booklet) https://eua.eu/resources/publications/986:the-new-university-open-access-checklist.html 3. Adopt an institutional rights retention policy 4. Switch focus from compliance with external 3rd party Ts & Cs to assertion of author rights 5. Shift focus to 'as open as possible - as closed as necessary' 6. Implement DORA or similar https://sfdora.org/ 7. Be bold!

<p>Principle 7: 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 book chapters will be longer and requires a separate and due process</p>	<ul style="list-style-type: none"> ● OA for monographs & book chapters ● Other types of output (eg data, preprints) ● Compliance currently applies to articles & conference papers, plus some books 	<ol style="list-style-type: none"> 1. Encourage or mandate openness across all types of outputs including via policies 2. Ensure support, services and information to enable open research data, preprints, 3. Work closely with libraries 4. Keep researchers informed of opportunities for making long-form publications open (eg new University Presses)
<p>Principle 8: The Funders do not support the ‘hybrid’ model of publishing. However, as a transitional pathway towards full Open Access within a clearly defined timeframe, and only as part of transformative arrangements, Funders may contribute to financially supporting such arrangements</p>	<ul style="list-style-type: none"> ● Transformative arrangements ● Repository deposit option 	<ol style="list-style-type: none"> 1. Work closely with libraries 2. Manage budgets in such a way to ensure diversity of OA models including diamond; S2O; etc 3. Encourage innovation in dissemination 4. Work with consortia to press for acceptable terms in R&P and other deals 5. Promote and support alternative OA via repositories to encourage innovation and to drive change towards academic controlled scholarship
<p>Principle 9: The Funders will monitor compliance and sanction non-compliant beneficiaries/grantees;</p>	<ul style="list-style-type: none"> ● Typically the University signs the research agreement contract (not researcher) ● Funders prefer compliance to sanctions! ● Although a stick, prefer compliance to be driven by carrots ● Journal Checker Tool (JCT) https://journalcheckertool.org/ 	<ol style="list-style-type: none"> 1. Ensure researchers fully aware of their OA commitments 2. Ensure collaborators aware of OA commitments 3. Provide simple procedures and clear information 4. Work closely with libraries 5. Raise awareness of Journal checker Tool 6. Do not tolerate pushback from external 3rd parties causing compliance difficulties for researchers - involve Legal Services if necessary 7. Promote the benefits of compliance (eg download figures from repository)
<p>Principle 10: The Funders commit that when assessing research outputs during funding decisions they will value the intrinsic merit of the work and not consider the publication channel, its impact factor (or other journal metrics), or the publisher</p>	<ul style="list-style-type: none"> ● Funders’ commitment ● Statement on responsible Research assessment & evaluation ● “Basket” of best practices across funders ● DORA and other similar initiatives 	<ol style="list-style-type: none"> 1. Refer to Plan S Principle 6 ‘Universities align their strategies, policies, and practices’ 2. See cOAlition S Statement on responsible Research assessment & evaluation https://www.coalition-s.org/responsible-research-assessment-and-evaluation/ 3. Eg. Adopt and implement DORA or similar https://sfdora.org/ 4. Publicise Plan S Impact survey to researchers https://jisc.onlinesurveys.ac.uk/plan-s-impact-survey2022