Plan S in Italy

Stefano Bianco et al., INFN
Plan S in the National Institute for Nuclear Physics

S.Bianco R.Barbera M.Maggi
D.Menasce L.Patrizii
A.Masiero (eo)

INFN Open Access Working Group

P.Lubrano
INFN Research Assessment Working Group

In collaborazione con
G.Chiarelli F.Zwirner

info: stefano.bianco@lnf.infn.it
      oa@lists.infn.it
An informal report, from the point of view of a group of senior (=aged) researchers, on the one-year long experience of outreaching and discussing a disruptive Open Access initiative in Italy.
Open Access

• All results from publicly funded research must be immediately and freely available to the taxpayer that has funded it.
Research has shown journal prices have outpaced inflation by over 250% over the past thirty years.
Top 5 commercial publishers

- No royalties paid to authors
- No compensation to peer reviewers
- Low cost of editing/formatting

Large Revenues

S. Bianco, R. Barbera, P. Lubrano, M. Maggi, D. Menasce, L. Patrizii
INFN - Implementing Plan S in Italy
@ OAI11 Geneva 20190620
Green Open Access

• Publish preprint to OA repository
• Submit to subscription journal, get it accepted
• Wait 0/6/12 months before submitting post-peer review version “postprint/AAM” to OA repository

Gold Open Access

• Pay Article Processing Costs (APC) and publish OA

Hybrid with Double Dipping

• Buy subscription
• And also pay APC
Research assessment, TODAY

Restrictive law on copyright will not guarantee free posting of AAM/postprint unless contractual.

New, quality journals cannot have an IF before 2/5 years

Authors publish on journals with high IF

Peer review provided by (unpaid) scientists

ANVUR (Research assessment govern. agency) considers only journals indexed on WOS and SCOPUS

Minimal editing is provided by publishers

Research assessment based on $\text{IF}_{y,5}$ and Citations
• Establishing Open Access practices is a challenge
• The evaluation of research research (carriers, fundings, etc) is entwined with bibliometric criteria
• Oligopolistic databases are used for governmental research assessment
the Frascati institutional repository contains preprints dating back \textbf{1954}
A new Institutional repository

- Pilot being discussed for approval in INFN
  - openaccessrepository.it
  - INVENIO3 + ZENODO
  - Open data-ready
  - In collaboration with CNR (P. Manghi, D. Castelli et al.)
- Ref R. Barbera talk this Conference
- Try it, free DOI when depositing your content
Openaccessrepository.it
Try it, free DOI when depositing your content

Performance Analyses of EGEE-like Grids in Asia and Latin America
Fargetta, Marco; Scardaci, Diego; Ciuffo, Leandro N.
Evaluate the status of several EGEE-like infrastructures outside of Europe
Uploaded on March 18, 2019

MEASUREMENT OF FORWARD AND BACKWARD MEAN CHARGED-PARTICLE MULTIPLICITIES IN HIGH-ENERGY (pp) SOFT INTERACTIONS AND COMPARISON WITH HIGH-ENERGY NEUTRINO AND ANTINEUTRINO DEEP INELASTIC SCATTERING
M. BASILE; G. BONVICINI; G. CARA ROMEQ; L. CIFARELLI; A. CONTIN; M. CURATOLQ; G. D'ALI; C. DEL PAPA; B. ESPOSITO; P. GIUSTI; T. MASSAM; R. NANI; G. SARTORELQ; G. SUSINNO; L. VOTANO; A. ZICCHICI
Uploaded on March 7, 2019

INFN Open Access Repository at a glance
- **Research. Shared.** — all research outputs from across all domains of INFN research are welcome.
- **Findable. Citeable. Discoverable.** — each upload gets a Digital Object Identifier (DOI) to make it easily and uniquely citeable. You can (automatically) link your research outputs to your ORCID profile.
- **Communities** — create and curate your own community for a workshop, project, Division. Laboratory, service, journal, etc. into which you can accept or reject uploads.
- **Funding** — you can associate an upload to the grant that has funded the work.
- **Flexible licensing** — you can choose among several licenses. You can also upload closed or embargoed research outputs.
Infn e Open Access

- 2007 joins SCOAP3
- 2008 signs Berlin declaration
- 2010 signs Granada declaration
- 2013 signs MedOAnet position paper in Rome
- 2014 signs Messina declaration 2.0
- 2018 joins OA2020
- 2018 joins Plan-S

D. Menasce, L. Patrizii, INFN - Implementing Plan S in Italy @ OAI11 Geneva 20190620
**Actions before Plan S**

- **OA2020 launched by Max Planck Digital Library**
  - to convert subscriptions expenses to OA publication fees
  - To assess and make public the subscription expenses
  - In Italy, INFN and Conference of Rectors (CRUI)

- **SCOAP3 launched by CERN**
  - To flip to OA all journals in the field of High Energy Physics by redirecting subscription moneys
  - To select journals via a commercial bid
  - In Italy, INFN, CRUI and partner Universities
Implementing Plan S in Italy @ OAI11 Geneva 20190620

Open APC Università di Milano

UNIVERSITÀ DEGLI STUDI DI MILANO

View: Publisher, Data & Embed

Filter: Year: 2018, Hybrid Status: All

€47,759
Springer Nature

€27,022
Frontiers Media SA

€6,493
Inference UK Limited

€6,280
De Gruyter GmbH 

€34,443
MDPI AG

€7,340
Wiley-Blackwell

€7,204
Elsevier BV

Sort by: Sum, Number of Articles, Mean Value, Standard Deviation

Download as: CSV, JSON

Publishers (19 entries)

<table>
<thead>
<tr>
<th>Publisher</th>
<th>Sum</th>
<th>Number of Articles</th>
<th>Mean Value</th>
<th>Standard Deviation</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Springer Nature</strong></td>
<td>€47,759</td>
<td>24</td>
<td>€1,990</td>
<td>€847</td>
<td>30.17%</td>
</tr>
<tr>
<td><strong>MDPI AG</strong></td>
<td>€34,443</td>
<td>32</td>
<td>€1,076</td>
<td>€489</td>
<td>21.76%</td>
</tr>
</tbody>
</table>
Quanto costa l’accesso ai servizi scientifici in Italia?

CRUI – Amministrazione Contratti-Pubblici
https://crui.cnr.it/contratti-pubblici.html

Costi di APC non inclusi nelle contrattazioni

subscriptions in 1 year = 1450 new researchers

Ref:S. Mangiaracina
10.5281/zenodo.1247497
cOAlition S: Making full and immediate Open Access a reality
Revised Plan S Principles and Implementation Guidelines
May 2019
cOAlition S Principles (simplified):

- Funders will not support Author-pays
- Funders will not pay for publication on double-dipping journals
- Funders will support green OA (posting of post-print/Authors Accepted Manuscript on institutional repository with zero embargo)
- Funders will pay for publication on double-dipping only if under transformative contract
- Funders will not use journal IF for research assessment
- Funders recognise the special role of scientific societies
- Funders recognise specificity for co-authored papers
- Funders will activate policy on new projects after Jan 1st, 2021
cOAlition S: Who is Involved?

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

**Charitable foundations:**
- Wellcome Trust, UK
- The Bill & Melinda Gates Foundation, USA
- Compagnia di San Paolo, Italy

**Supported by:**
- European Commission
- European Research Council

**Coordinated by:**
- [SCIENCE EUROPE](https://www.scienceeurope.eu)
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;
- 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.
Feedback Responses: 344 Institutional and 263 Individual

Distribution by organisation type

<table>
<thead>
<tr>
<th>Organisation Type</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Learned Society or Learned Society Association</td>
<td>109</td>
</tr>
<tr>
<td>Other</td>
<td>81</td>
</tr>
<tr>
<td>University or University Association</td>
<td>55</td>
</tr>
<tr>
<td>Publisher or Publisher Association</td>
<td>31</td>
</tr>
<tr>
<td>Library or Library Association</td>
<td>28</td>
</tr>
<tr>
<td>Research Performing Organisation or Research Performing Organisation Association</td>
<td>19</td>
</tr>
<tr>
<td>Research Funder or Research Funder Association</td>
<td>15</td>
</tr>
<tr>
<td>Industry or Industry Association</td>
<td>6</td>
</tr>
</tbody>
</table>

**Individuals:** 213 researchers, 15 librarians, 35 others
Feedback Responses

Geographical distribution of responses

- United Kingdom: 164
- The Netherlands: 103
- France: 75
- Germany: 47
- Sweden: 40
- Finland: 32
- Belgium: 23
- Ireland: 22
- Austria: 16
- Italy: 16
- Norway: 15
- Spain: 11
- Argentina: 11
- Australia: 10
- Switzerland: 8
- Others: 7
### Open Access publishing venues (journals or platforms)

Authors publish in an Open Access journal or on an Open Access platform.

- **gold OA**: Authors publish in an Open Access journal.
- **green OA**: Authors publish in an Open Access journal and make either the final published version (Version of Record (VoR)) or the Author's Accepted Manuscript (AAM) openly available in a repository.
- **ibrido in transizione**: Authors publish Open Access in a subscription journal under a transformative arrangement.

### Subscription venues (repository route)

- **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.**

### Transition of subscription venues (transformative arrangements)

- **Authors publish Open Access in a subscription journal under a transformative arrangement.**

### 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.
Plan S: S.W.O.T. prior to joining

**STRENGTHS**
- reaction to double-dipping
- Support to green-OA
- non-IF research evaluation methods

**WEAKNESSES**
- no APC market analysis
- no indepth analysis of previous experiences (UK, etc)

**OPPORTUNITIES**
- Compatible with SCOAP3
- Compatible with OA2020
- Mandate compulsory OA-Repository
- Redirection of subscription money to APC
- coordination w/Ministry

**THREATS**
- behavior of APC market
- Article published in collaborations/mixed affiliations
- Research assessment (careers, funding)
Cost of conformal repositories
- coordination w/Ministry
QUESTIONS SENT BY INFN

1. Articles in collaboration / Authors with mixed affiliations
2. Freedom of research
3. Copyright for deposit of postprint w/ zero embargo
4. Research evaluations
5. APC market
6. cOAlitionS support for repositories
7. Conformity of arXiv
8. Sanctioning
9. Academic/Learned society journals
Reactions to Plan S

- Librarians
  - Informed, positive
- Professional societies (AISA aisa.sp.unipi.it, etc)
  - Cautiously supportive
- Scientific societies
  - Cautiously responsive
- Law-makers and government
  - Attentive. Now discussing in Senate an OA law proposal.
- Researchers
  - uninformed ➔ suspicious ➔ negative ➔ outraged
    - «Author Pays ?»
    - «Plan S website unclear»
    - «Concerned about my carrier»
    - «Freedom to publish»
art. 9

- La Repubblica promuove lo sviluppo della cultura e la ricerca scientifica e tecnica. Tutela il paesaggio e il patrimonio storico e artistico della Nazione.

art. 33

- L’arte e la scienza sono libere e libero ne è l’insegnamento.
Outreach in Italy

- Press releases
- Internal (INFN)
  - Webinar, seminars, committees etc
- External
  - In person – tour
planS 2019 INFN tour

- 29 gennaio Milano Statale
- 30 gennaio Lecce Univ Salento
- Webinar, CSN1, CSN2
- 21 febbraio Roma CNR
- 23 febbraio Bologna SIF
- 4 marzo Messina Università
- 5 marzo Catania Università
- 8 marzo Roma Sapienza Università
- 14 marzo Bari Università
- 20 marzo Genova Università
- 21 marzo Firenze Università
- 2 aprile Padova Workshop Open Science
- 10 aprile Caserta CSN3
- 8 maggio Pisa CNR
- 8 maggio Pisa Università’
- 30 Maggio Pavia NILDE round table
- 27 giugno Firenze “By the Book” round table
- 28 giugno Roma ISPRA
The effect of Plan S on INFN

- Discussing at Exec Committee three new policies:
  - Joining DORA, banning use of journal IF in research evaluation **WILL BE DONE 😊**
  - Policy for mandatory deposit on institutional repository
  - Policy for selection and budgeting of articles on non-double dipping OA journals
The effect of Plan S outside INFN

- CRUI – CARE Univ consortium started negotiating transformative agreements
- CNR is discussing Plan-S compliant guidelines
  - Ref A. DeRosa at Pisa 2019.05.08
- Ministry of Univ & Research is preparing the first OA National Plan ever
  - Ref P. Branchini, E. Giglia et al.
- Some awareness raised among researchers but
  - Still no new Institutes have joined cOAlition S
- The challenge continues
Institutional OA publishing platform
A.K.A.
life without a commercial publisher for quality certification of articles
A.K.A.
If researchers do all the editor/referee/reviewer work unpaid, and considering that articles distribution is freely available via repositories, why cannot we create a quality-certification authority independent of commercial publishers?

• REPUTATION
• INTERNATIONAL BOARD OF EDITORS/REVIEWERS
• BUSINESS MODEL
• SINERGY WITH LEARNED SOCIETIES
• ...and much more, see Workshop on Plan S this Conference (Bianca Kramer, Marco Tullney coordinators)
In conclusion

- Plan S is a disruptive, provocative action aimed to let us emerge from the OA swamp
  - NO to any specific economic model, double-dipping, author pays, journal IF
  - YES to green road, zero embargo self-archiving, transformative agreements

- Top priorities
  - raise awareness of researchers
  - remove IF from research evaluation
Il molo di Calais
con pescatori
del 1803
Olio su tela
172x240cm

National Gallery - Londra
6. A.Gentil-Beccot et al., arXiv:0906.5418
8. https://indico.cern.ch/conferenceTimeTable.py?confId=233119#20130321.detailed Joint DASPOS / DPHEP7 Workshop
10. R.Barbera CHAIN-REDS (www.chain-project.eu) Grant Agreement no. 306819
12. L.Patrizii, intervista INFN Newsletter ottobre 2018
15. A.Kohls, S.Mele, Converting the literature... Publications 2018, 6, 15; doi:10.3390/publications6020015
16. R.Barbera et al., A study to define a linked open data platform of interoperable repositories to enable open science doi 10.15161/oar.it/1525110414.75
Spare slides
“Reverently made for universal free distribution by Wang Jie on behalf of his two parents, 11 May 868.”
DE SYSTEMATE MUNDI,
 Autore
 GALILEO GALILEAI LYNCEO,
 SERENISSIMO
 FERDINANDO II. HETRVR. MAGNO-DUCI
 dicatus.

Augustae Trebic.
Impennis Bonaventurae et Abrahami Elzevir.

Bibliopolar Leyden.
Abrahaami Elzevir di Leida, Paesi Bassi
1665

Featured Articles

**An introduction to this tract**

*Philosophical Transactions of the Royal Society of London*

**Ecliplis Solis anno 1675, die 23 Junni mane ft.n.observ. Gedani à Job. Hevelio**

Johannes Hevelius

*An abstract of a letter from Mr. Anthony Leeuwenhoeck of Delft to Mr. R. H. concerning the appearances of several woods, and their vessels.*

Antoni Van Leeuwenhoek

**XXIII. Farther observations on the feet of animals**
1991 Paul Ginsparg e arXiv
6 agosto 1991 – nascita di www al CERN
Most scientists regarded the new streamlined peer-review process as ‘quite an improvement.’

https://wattsupwiththat.com/2015/08/19/peer-review-is-broken-springer-announces-64-papers-retracted-due-to-fake-reviews/
Resubmissions to arXiv peak around publication

Ref: S. Mele JCDL Toronto 2016

Progetto pilota INFN Open Access Repository. Utilizza INVENIO/INSPIRE sw by CERN. Prossimamente con ZENODO pronto per open data

Digital Repository of Research Products
(pilot: www.openaccessrepository.it)
2- How much does SCOAP3 APC cost?

Software: GitHub
- [OpenAPC](https://github.com/OpenAPC/openapc-de)
- [Figshare](https://figshare.com/articles/2015_Jan_June_UK_APC_data_combined/1509860)
- [Blog.Wellcome.ac.uk](https://blog.wellcome.ac.uk/2016/03/23/wellcome-trust-and-coaf-open-access-spend-2014-15/)

Impact Factor (2012)

- AVERAGE SCOAP3: €1,150
- AVERAGE WELLCOME: €2,377
- AVERAGE UK: €2,188
- AVERAGE GERMANY: €1,288

Sources: Journal Citation Report, publishers’ websites, scoap3.org, webarchive.org

Impact Factor (2012)