

Compliance with Plan S Repository Requirements

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CAUL Research
Repositories
Community Event

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Report on Australasian Repositories' Compliance with **Plan S** **Requirements**

Plan S Project Team

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Project Aims



Extract Plan S' repository requirements (both *mandatory* and *strongly recommended*)



Survey all ANZ institutional repositories on current compliance



Report findings and make recommendations to CAUL

Methodology



ALL CAUL AND CONZUL
MEMBER REPOSITORIES
SURVEYED



32 UNIQUE
RESPONSES RECEIVED



= 68% RESPONSE
RATE

Plan S

Mandatory requirements for OA repositories

1. Registered with Directory of Open Access Repositories (DOAR).
2. PIDs used for the deposited publications (with versioning, for example in case of revisions), such as DOI (preferable), URN, or Handle.
3. High quality article level metadata in standard interoperable non-proprietary format, under a CC0 public domain dedication, including funder details.
4. Machine readable information on the Open Access status and the license embedded in the article, in standard non-proprietary format.
5. Continuous availability (uptime at least 99.7%).
6. An email address (functional mailbox) with a response time of no more than one business day.

Plan S

*Strongly
recommended
additional
criteria for
repositories*

1. Manuscript submission system that supports both individual and bulk uploads by individuals or publishers.
2. Full text stored in a machine-readable community standard format such as JATS XML.
3. Support for PIDs for authors (e.g., ORCID), funders, funding programmes and grants and other entities.
4. Openly accessible data on citations e.g. Initiative for Open Citations (I4OC).
5. Open APIs to allow others (including machines) to access the content.
6. OpenAIRE compliant.
7. Quality assurance processes to link full-text deposits with authoritative bibliographic metadata from third party systems.

Project Outcomes

Findings

- Most ANZ universities are able to comply with at least some of the minimum requirements.
- However, no repository can currently fully comply with all of the minimum requirements or the strongly recommended requirements.

Recommendations

- All ANZ universities should aim to comply with Plan S minimum requirements, prioritising DOAR registration by December 2020.
- All ANZ universities should aim to comply with Plan S recommended repository requirements (recognising this will require significant effort)
- CAUL endorses the creation of a new Repository Advisory Group to guide implementation.

Part I: The Plan S Principles

01 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](#);

02 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;

03 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;

04 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;

05 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;

06 The Funders encourage governments, universities, research organisations, libraries, academies, and learned societies to align their strategies, policies, and practices, notably to ensure transparency.

07 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;

08 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;

09 The Funders will monitor compliance and sanction non-compliant beneficiaries/grantees;

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.

2. Plan S Compliance

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

There are three routes for being compliant with Plan S:

	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.

2020 CAUL
fair,
affordable &
open
access to
knowledge
program
work



CAUL roadmap to Plan S
Comprehensive
Including repositories



**CAUL review of repository
community support**
Repository days
CAIRSS email list



Other projects?
To be determined

To be determined and announced by the
CAUL Board

Thank you and questions