

**Roadmap to Plan S for Australia**

**Project Initiation Document**

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| **CAUL Program:** | **FAIR, AFFORDABLE AND OPEN ACCESS TO KNOWLEDGE** |
| **Title:** | Roadmap to Plan S for Australia |
| **Document Author (name, email, phone and position):** | Catherine Clark, University Librarian, Curtin University  [Catherine.clark@curtin.edu.au](mailto:Catherine.clark@curtin.edu.au) / 08 9266 7205 |
| **Objective:** | Provide informed advice to the DVCsR Committee and other relevant stakeholders regarding a clear program of activities that will lead to Australian university researchers being Plan S compliant where required from January 2021. |
| **Brief Project Description:** | This project will deliver a Roadmap to Plan S for Australian university researchers that will provide a clear description of the opportunities and challenges of implementing Plan S in the Australian context. The Roadmap will also describe proposed activities and timelines to enable research publications from Australia to be Plan S compliant from 1 January 2021. |
| **Context:** | [Plan S](https://www.coalition-s.org/principles-and-implementation/) is an internationally recognised initiative that has been developed by a number of European national research funding organisations, with the support of the European Commission and the European Research Council. The main principle of Plan S is “*With effect from 2021, all scholarly publications on the results from research funded by public or private grants provided by national, regional and international research councils and funding bodies, must be published in Open Access Journals, on Open Access Platforms, or made immediately available through Open Access Repositories without embargo*.”[[1]](#footnote-1)  Following a presentation by CAUL to the Universities Australia Deputy Vice Chancellors Research Committee, CAUL has been asked to deliver a Roadmap to Plan S for Australian university researchers. This project will aim for broader engagement beyond UA to a national approach which could be inclusive of the major research councils and funding bodies. |
| **Project Owner (name, email, phone and position):** | Catherine Clark, CAUL Program Director – Fair, affordable and open access to knowledge and University Librarian, Curtin University  [Catherine.clark@curtin.edu.au](mailto:Catherine.clark@curtin.edu.au) / 08 9266 7205 |
| **Project Lead (name, email, phone and position):** | TBC - CAUL office calls for EOI from CAUL members and their delegates |
| **Project Team (name, email, phone and position):** | TBC - CAUL office calls for EOI from CAUL members and their delegates |
| **Project Governance Group:** | The CAUL Board will provide oversight and governance in relation to this Project, noting that there will be a range of non-CAUL affiliated participants who may also require their own internal governance approval. |
| **Benefits:** | A clear Roadmap which outlines a series of activities and timelines to achieve Plan S compliance for Australian researchers from 1st January 2021 will ensure that Australian researchers continue to be able to apply for grants from Plan S aligned funders. The list of aligned funders is expected to grow in the lead up to January 2021 and already includes, for example, Wellcome Trust, Gates Foundation and World Health Organisation. |
| **Scope and Deliverables:**  *What is expected to be produced as a result of this work* | A document which describes the opportunities and challenges for Australian university researchers and any associated resources (staff and technical) to be able to meet Plan S requirements from January 2021. The document will include a detailed plan with specific actions and timelines. |
| **Resources & Key Stakeholders:**  *What resources will be provided by the business and what resources are being requested  E.g. budget, subject matter expert, vendor developers, project managers, etc.* | Stakeholder engagement is critical to the success of the Project. Engagement and collaboration is expected for (but not limited to):   * CAUL Members * DVCsR Committee including the current Chair * F.A.I.R. Statement Steering Group (including Australasian Open Access Strategy Group, ARC, NHMRC) * Australian Society for Medical Research (ASMR) * Plan S Ambassadors for ANZ * Office of the Chief Scientist   Resources required:   1. Personnel to analyse the Plan S requirements and benchmark Australia’s current position drawing on previously completed work e.g. Curtin Open Knowledge Index data and CAUL Plan S Repository Project; 2. Personnel to engage with external stakeholders; 3. Personnel to identify gaps in Plan S compliance and develop proposed approaches to meeting these; 4. Personnel to prepare the final report and documentation in an appropriate format for different audiences; 5. CAUL office personnel re project management (and potentially some of the above). |
| **Key risks and mitigations:** | Risk: Inadequate resources will be available for this project  Mitigation:   1. CAUL members will be encouraged to nominate themselves and their staff to participate in this project 2. CAUL Office resources will be prioritised to enable appropriate levels of support; 3. Work closely with Universities Australia DVCsR Chair to ensure the Roadmap is developed in a way that is fit for purpose. |
| **Related Projects/ Initiatives:** | Other CAUL-related proposed projects under the Fair, affordable and open access to knowledge program e.g. the Retaining Rights Policy Project and the FAIR Roundtable Project (project initiation documents being drafted) |
| **Timelines:** | Project to commence as soon as possible for delivery at DVCsR meeting in May 2020. |
| **Attachments submitted:**  *List and describe them* | None |
| **Document Version:** | Drafted Catherine Clark 13/09/19 |
| ***Approval from CAUL Program Director and CAUL Board Chair:*** | |
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1. <https://www.coalition-s.org/about/> [↑](#footnote-ref-1)