

Copyright, Open Access and Plan S

Eugen Stoica
Scholarly Communications Team

Talk outline

- Copyright – the Utilitarian Theory
- Open Access – Green, Gold and Hybrid publications
- Plan S
 - 10 Principles
 - Guidance and Implementation
 - Technical Guidance and Requirements
- How to prepare for Plan S

The justification of IPR

- The **utilitarian theory** based on the concept of utility
- Creative works are beneficial to the society's well-being (progress), therefore production of such works must be encouraged (incentive & protection) by legislation.
- *Per a contrario*, without IP protection no one would be willing to spend resources only to have their competitors copy or reverse engineer their innovations. No one would engage in original development.

Critique of the utilitarian theory

1. Legislation needs to **carefully** balance the creators' need for incentives & protection against the needs of the society
2. This theory starts from the premise that material incentives will make inventive people use IP tools
 - Volvo's V-shaped seatbelt
 - Jonas Salk - polio vaccine
 - Tesla electric engine and self-driving software patents
 - And ... academic researchers

Critique of the utilitarian theory

- Funders will finance research knowing that if successful they will be able to sell it or licence it to recuperate their investment

3. **There is another way! Public funding** that doesn't have to be recuperated

- There are alternative ways - **public funding** - to provide funding for innovators which do not restrict use and availability to the works (**Open Access**)
- Open Access is particularly suited for academic research

Open Access → Green & Gold

- **Open Access → Green Open Access Model**
 - the author makes an early version of the work publicly available by archiving it in a subject or institutional repository
 - ideally, it should be the version that went through the peer-review process but before going into the type-setting & copy editing process
 - access may be subject to an embargo, depending on the publisher's copyright policy
- **Gold Open Access Model**
 - in exchange for an APC (article processing charge), the final published version is made available via the publisher's website
 - average APC is £2000 plus VAT
 - the work is available immediately, with no embargo periods
- **Readers are paying VS Authors are paying**

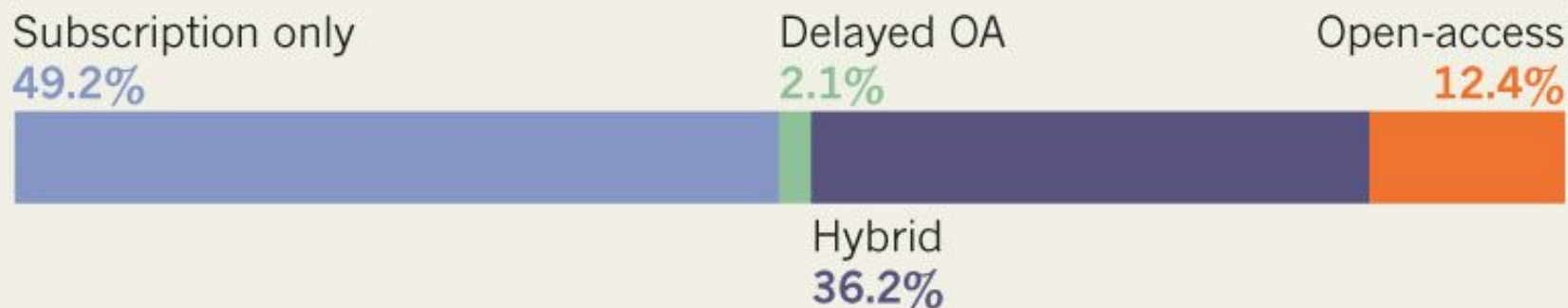
Open Access → Hybrid

- **Hybrid journals** - both **Readers** and **Authors** are paying for publication
 - charging both a yearly subscription AND an Article Processing Charge
 - massive backlash from universities and research funders
- **Workarounds**
 - **Publisher agreements**
 - For a lump sum £££ universities get access to journal archives and all articles published by their authors are made available Gold OA
 - **Different journals**
 - Water Research vs Water Research X

PUBLISHING MODELS

Worldwide, the proportion of subscription-only journals* shrank between 2012 and 2016, giving way to more open-access (OA) and hybrid journals.

Proportion of journals published 2012



Proportion of journals published 2016



*From Scopus database. Hybrid journals are subscription titles that allow authors to make individual papers open for a fee.

Top 20 academic journals by the number of articles published by researchers @ School of Informatics Edinburgh

Count of Journal > Title-4	
Journal > Title-4	Total
Transactions of the Association for Computational Linguistics	19
PLoS One	15
ACM Transactions on Database Systems	15
Physical Review A	15
IEEE Transactions on Pattern Analysis and Machine Intelligence	14
Bioinformatics	14
Computational Linguistics	14
IEEE Transactions on Visualization and Computer Graphics	14
PLoS Computational Biology	13
Proceedings of the VLDB Endowment (PVLDB)	13
Computer Graphics Forum	13
Scientific Reports	12
Electronic Notes in Theoretical Computer Science	12
Physical Review Letters	12
ACM Transactions on Architecture and Code Optimization	11
IEEE/ACM Transactions on Audio, Speech, and Language Processing	10
Theoretical Computer Science	10
Nature Communications	10
Information and Computation	10
IEEE Robotics and Automation Letters	9
Logical Methods in Computer Science	9
Artificial Intelligence	9
International Journal of Computer Vision	9
Grand Total	282

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2 Author(s) Seung-Hwan Bae Kuk-Jin Yoon View All Authors

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Abstract

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- 1 Introduction
- 2 Related Works
- 3 Online Multi-Object Tracking with Tracklet Confidence
- 4 Discriminative Deep Appearance Learning
- 5 Discussion

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Confidence-Based Data Association and Discriminative Deep Appearance Learning for Robust Online Multi-Object Tracking

Seung-Hwan Bae¹ and Kuk-Jin Yoon², Member, IEEE

Abstract—Online multi-object tracking aims at estimating the tracks of multiple objects instantly with each incoming frame and the information provided up to the moment. It still remains a difficult problem in complex scenes, because of the large ambiguity in associating multiple objects in consecutive frames and the low discriminability between objects appearances. In this paper, we propose a robust online multi-object tracking method that can handle these difficulties effectively. We first define the tracklet confidence using the detectability and continuity of a tracklet, and decompose a multi-object tracking problem into small subproblems based on the tracklet confidence. We then solve the online multi-object tracking problem by associating tracklets and detections in different ways according to their confidence values. Based on this strategy, tracklets sequentially grow with online-provided detections, and fragmented tracklets are linked up with others without any iterative and expensive association steps. For more reliable association between tracklets and detections, we also propose a deep appearance learning method to learn a discriminative appearance model from large training datasets, since the conventional appearance learning methods do not provide rich representation that can distinguish multiple objects with large appearance variations. In addition, we combine online transfer learning for improving appearance discriminability by adapting the pre-trained deep model during online tracking. Experiments with challenging public datasets show distinct performance improvement over other state-of-the-art batch and online tracking methods, and prove the effect and usefulness of the proposed methods for online multi-object tracking.

Index Terms—Multi-object tracking, tracking-by-detection, tracklet confidence, confidence-based data association, deep appearance learning, online transfer learning, surveillance system

1 INTRODUCTION

THE goal of multi-object tracking (MOT) is to estimate the states of multiple objects, such as locations, velocities, and sizes, while conserving their identifications under appearance and motion variations with time. In a complex scene, this problem is still challenging due to frequent occlusion of target objects by a clutter or other objects, similar appearances of target objects, and so on.

To solve this problem, many different methods have been proposed for decades. Among them, tracking-by-detection methods have shown impressive performance improvement in multi-object tracking thanks to the development of reliable object detectors [1], [2]. The tracking-by-detection methods generally build long tracks of objects by associating detections provided by detectors. Thus, these methods can recover tracking failures by finding the object hypothesis from the detections. In addition, by using

detections, the search space of object hypothesis can be greatly reduced and new track initialization can be also achieved automatically.

The tracking-by-detection methods can be roughly categorized into batch and online methods. Batch methods [3], [4], [5], [6], [7] usually utilize the detections of all the frames of the sequence together to build long tracks robustly against occlusion and false detections. In general, given a set of detections, short tracklets are generated first by linking individual detections, and the tracklets are then globally associated to build longer tracklets. Therefore, the global association is very important in this approach, and many methods [3], [6], [7] for the global association have been proposed. However, the performance of the batch methods is still limited when tracking multiple objects with similar appearances. Moreover, since they usually require the detections for an entire sequence beforehand and also require expensive computation for the iterative associations to generate globally optimized tracks, it is hard to apply the batch methods to real-time applications.

On the other hand, online methods [8], [9], [10], [11], [12], [13], [14] can be applied to real-time applications because they sequentially build trajectories based on the frame-by-frame association using the information given up to the present frame. However, in return, the online methods tend

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Nonparametric Bayesian Double Articulation Analyzer for Direct Language Acquisition From Continuous Speech Signals

3 Author(s) Tadahiro Taniguchi Shogo Nagasaka Ryo Nakashima View All Authors

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Abstract: Human infants can discover words directly from unsegmented speech signals without any explicitly labeled data. Current machine learning methods cannot efficiently estimate language model (LM) and acoustic model (AM) and discover words directly from continuous human speech signals in an unsupervised manner. To solve this problem, we propose an integrative generative model that combines an LM and an AM into a single generative model called the hierarchical Dirichlet process hidden LM (HDP-HLM). The HDP-HLM is obtained by extending the hierarchical Dirichlet process hidden semi-Markov model (HDP-HSMM) proposed by Johnson et al. An inference procedure for the HDP-HLM is derived using the blocked Gibbs sampler originally proposed for the HDP-HSMM. This procedure enables the simultaneous and direct inference of LM and AM from continuous speech signals. Based on the

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- II. Background
- III. Generative Model
- IV. Inference Algorithm

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Index Terms—Bayesian nonparametrics, child development, language acquisition, latent variable model.

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I. INTRODUCTION

INFANTS must solve the word segmentation problem in order to acquire language from continuous speech signals to which they are exposed. The word segmentation problem is that of identifying word boundaries in continuous speech. If the speech signals are given to infants as isolated words, the task is easy for them. However, it has been known that a relatively small number of infant-directed utterances consist of an isolated word [1]. If infants had knowledge about words and phonemes innately, the problem could be solved relatively easily. On the contrary, the fact that each language has different lists of phonemes and words clearly shows that infants have to acquire them through developmental processes.

From the viewpoint of statistical learning, the learning problem, i.e., direct language acquisition from continuous speech signals, is very difficult because infants do not have access to the truth labels of speech recognition results. In other words, the language acquisition process must be completely unsupervised. The main problem of this paper is to develop a computational model that can estimate language model (LM) and acoustic model (AM), and discover words directly from continuous human speech signals.

Most modern automatic speech recognition (ASR) systems have an LM that represents knowledge about words and their distributional probabilities as well as an acoustic model that represents knowledge about phonemes and their acoustic features (see [2], [3]). Both are usually trained using large transcribed speech datasets and linguistic corpora through supervised learning. However, infants do not have access to such explicitly labeled datasets. They have to acquire both LM and AM from raw acoustic speech signals in an unsupervised manner.

The question about what kind of cues human infants utilize to discover words from continuous speech signals arises. Saffran *et al.* [4] listed three types of cues for word segmentation: 1) prosodic; 2) distributional; and 3) co-occurrence:

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The question about what kind of cues human infants uti-

Open Access

- Creation and dissemination of knowledge is a public responsibility
- Governments are providing public money for research and education and then completely ignore the mechanism by which the results of that research are disseminated
- 2013 RCUK OA policy (from 2018 UKRI)
- 2015 HEFCE OA policy
- EU Horizon 2020 grants
- Wellcome Trust OA policy
- UK-Scholarly Communications Licence
- Plan S

Plan S

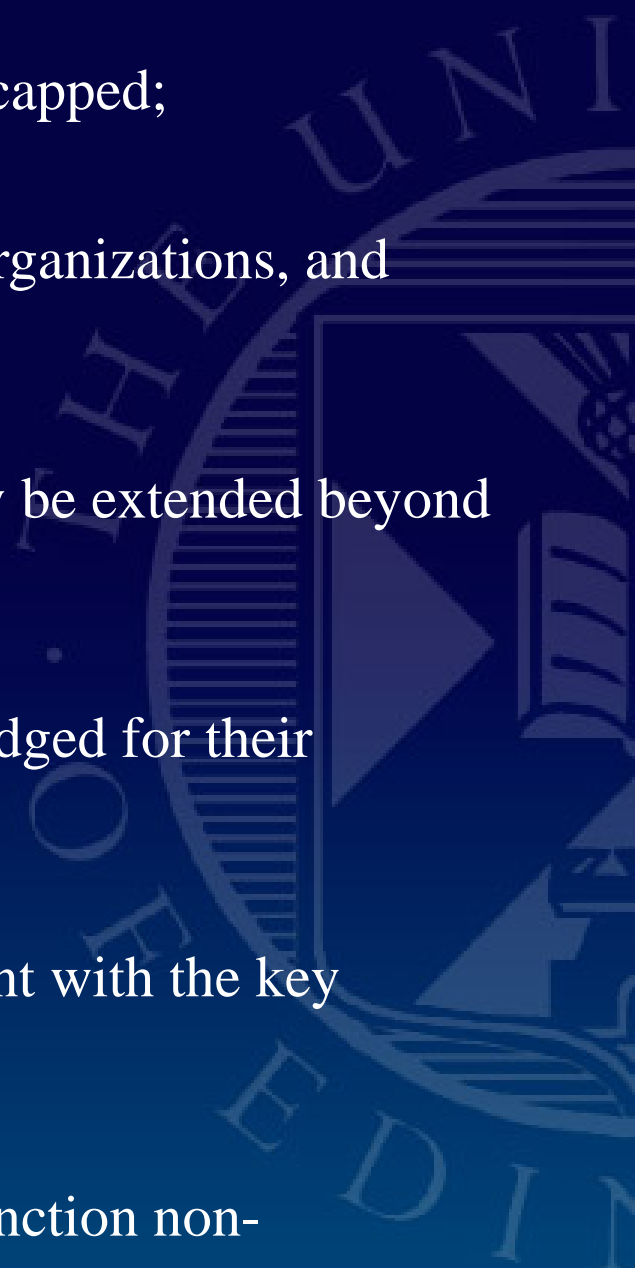
- “After 1 January 2020 scientific publications on the results from research funded by public grants provided by national and European research councils and funding bodies, must be published in compliant Open Access Journals or on compliant Open Access Platforms.”

(Early) Feedback

- “In summary, ALLEA (All European Academies) broadly welcomes Plan S but with major caveats. “
- While publishers (and at least some researchers) are appalled by Plan S, open access advocates, as could be expected, have welcomed the initiative.
- Plan S is proving uncomfortably divisive.

The 10 Principles of Plan S

1. Authors retain copyright on their publications, which must be published under an open license (like CC-BY);
2. The Funders will establish robust criteria and requirements for compliant OA journals and platforms;
3. The Funders should also provide incentives for the creation of compliant OA journals and platforms if they do not yet exist;
4. Publication fees should be covered by the funders or universities, not individual researchers;

- 
- A large, faint watermark of the University of Edinburgh crest is visible in the background, featuring a shield with a book and a building, surrounded by the text 'UNIVERSITY OF EDINBURGH' and 'FOUNDED 1582'.
5. Publication fees should be standardized and capped;
 6. The Funders will ask universities, research organizations, and libraries to align their policies and strategies;
 7. For books and monographs, the timeline may be extended beyond 2020;
 8. Open archives and repositories are acknowledged for their importance;
 9. Hybrid open-access journals are not compliant with the key principles;
 10. The Funders will monitor compliance and sanction non-compliance.

Guidance and Implementation of Plan S

1. Aims and Scope

1. cOAlition S does not favour any specific business model for OA publishing or advocate any particular route to OA given that there should be room for new innovative publishing models.

2. Plan S Compliance

1. OA journals or OA platforms
2. OA repositories
3. Transformative agreements

3. Publication Costs

3. cOAlition S will contribute to establishing a fair and reasonable APC level, including equitable waiver policies, that reflects the costs involved in the quality assurance, editing, and publishing process and how that adds value to the publication.
4. Grants can be used for financing APCs for Open Access publication in subscription journals ('hybrid Open Access') only under transformative agreements.

4. Supporting Quality Open Access Journals and Platforms

5. Timeline - 1 January 2020

6. Review - 2023

7. Compliance and Sanctioning

Technical Guidance and Requirements

- **Licensing and Rights – CC licences**
- **Open Access Journals and Platforms**
 - Basic mandatory criteria for Plan S compliant Open Access journals and platforms
 - Mandatory quality criteria for Plan S compliant journals, platforms, and other venues
 - Recommended additional criteria for journals and platforms
- **Deposition of Scholarly Content in Open Access Repositories**
 - Requirements for authors and publishers
 - Requirements for Plan S compliant OA repositories
- **Transformative Agreements**

How to Prepare for Plan S

- Don't publish in hybrid journals ...
- Identify best journals in your field, then
 - Check funder requirements, use Sherpa/Juliet
<http://v2.sherpa.ac.uk/juliet/>
 - Think ahead about REF compliance, use Sherpa/REF
<https://ref.sherpa.ac.uk/>
 - Check journal's copyright policy, use Sherpa/Romeo
<http://www.sherpa.ac.uk/romeo/index.php>

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