



Plan S

Making full & immediate
Open Access a reality

cOAlition S: the road ahead

Slovak Open Science Forum 2024, Bratislava

14 November 2024

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cOAlition S: a global alliance of funders

28 organizations worldwide

National funders

- Australia: NHMRC
- Austria: FWF
- Finland: AKA
- France: ANR
- Ireland: SFI
- Italy: INFN
- Luxembourg: FNR
- Netherlands: NWO
- Norway: RCN
- Poland: NCN
- Portugal: FCT
- Quebec: QRF
- Slovenia: ARRS
- Sweden: FORMAS, FORTE, VINNOVA
- Switzerland: SNSF
- UK: UKRI

European Commission (Horizon Europe)

Charitable foundations

- The Wellcome Trust
- The Bill & Melinda Gates Foundation
- Howard Hughes Medical Institute (HHMI)
- Aligning Science Across Parkinson's (ASAP)
- Templeton World Charity Foundation (TWCF)

Global dimension

- World Health Organisation + TDR
- Jordan: HCST
- Zambia : NSTC
- South Africa : SAMRC

€35bn/year in research funds, 150k articles/ year

Plan S: a single purpose with 10 principles

Plan S: “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.”

- ⦿ All peer-reviewed papers must be available in immediate Open Access with a CC-BY license (or equivalent). Researchers retain their intellectual rights.
- ⦿ CC BY is the most open license. It allows the user to share and adapt the publication, provided that appropriate credit is given to the author (BY) and that the user indicates whether the publication has been changed.





PRINCIPLES

Plan S: strong principles

- ⦿ Open Access must be **immediate: no embargo periods**
- ⦿ Publication under a **CC-BY license**
- ⦿ No ‘hybrid’ model of publication, except as a transitional arrangement with a defined endpoint
- ⦿ Pricing, contracts and publication fees should be transparent and in line with the services provided
- ⦿ **Funders** commit to support such publication fees, **individual researchers do not pay**
- ⦿ A commitment to assess research outputs based on their **intrinsic merit** and NOT their venue of publication or quantitative metrics



Plan S: three routes to compliance

Authors can publish in any journal of their choice, subject to certain conditions:

- ⦿ **Route 1:** Publication in full Open Access journals is compliant and financially supported by cOAlition S funders.
- ⦿ **Route 2:** Publication in subscription journals is compliant **if** the author deposits a copy of (at least) the Author Accepted Manuscript (AAM) in a repository at publication.
- ⦿ **Route 3:** Publication in journals that are under a Transformative Arrangement is compliant.

Journal Checker Tool (JCT)

- To help researchers navigate the complexity of Open Access routes, cOAlition S has developed the *Journal Checker Tool* (JCT)
- The JCT allows researchers to identify how journals can meet their Open Access obligations. <https://journalcheckertool.org>

Cell (Elsevier), ISSN: 0092-8674, 1097-4172



Wellcome



University of Cambridge, United Kingdom (ROR:013meh722)

The following publishing options are aligned with your funder's OA policy.



PREFERRED TRANSFORMATIVE AGREEMENT

The corresponding author of the submitted article must be based at an institution within this transformative agreement for it to provide a route to compliance

Other conditions may also be in place around publishing through this agreement.

[Make sure to read this information.](#)

Cell is part of a transformative agreement between Elsevier and University of Cambridge which expires on 2024-12-31



PREFERRED TRANSFORMATIVE JOURNAL

Go ahead and submit. Remember to select the open access publishing option with a [CC BY licence](#) to ensure compliance.

Check [here](#) to confirm if your funder will pay publishing fees.

[More information](#)



COMPLIANCE THROUGH SELF-ARCHIVING USING RIGHTS RETENTION

Your funder's grant conditions set out how you can retain sufficient rights to self-archive the Author Accepted Manuscript in any OA repository. Publishing fees do not apply with this route.

 **Caution required**

Making the AAM Open Access via the Rights Retention Strategy (RRS): key principles

- ⦿ The peer-reviewed, Author Accepted manuscript (AAM), is the intellectual creation of the authors and belongs to them
- ⦿ To assert ownership, the author – as the original copyright holder – applies a CC BY licence to the AAM arising from their submission and notifies publisher of this prior licence

“This research was funded in whole, or in part, by the [Funder name][Grant number].

For the purpose of open access, the author has applied a CC BY public copyright licence to any Author Accepted Manuscript version arising from this submission.”

- ⦿ Publication services should be paid for, but not with ownership of the AAM.

The RRS is receiving broad support...

- UNESCO declaration of November 2021; G6 declaration, December 2021; EUA OS Agenda 2025;
- European Council, June 2022: *"CONSIDERS that the authors of research publications or their institutions should retain sufficient intellectual rights to ensure open access"*
- EU Council Conclusions (May 2023: Rights Retention by authors – who should assert CC BY on all their articles – is a priority.
- About 50 universities in the UK and 14 in Norway have adopted or will be adopting institutional rights retention policies (IRRP). **IRRP are more powerful** than funder mandates: universities are the direct employers of researchers, and Rights Retention becomes a contractual obligation.
- CNRS and UDICE in France strongly recommend the use of Rights Retention.



The EUA Open Science
Agenda 2025



European Council
Council of the European Union

Publishers' tactics to undermine rights retention

1

Using contract law to enforce embargoes/non-compliant licences

2

Using online workflows to force authors publishing in a subscription journal to agree to pay an APC at the point of submission.

3

Requiring researchers to remove RR language before article is published

Accepted Manuscript terms of use

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<https://www.springernature.com/gp/new-content-item/23214260>

I

Gold Open Access

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The Bill & Melinda Gates Foundation funded my research. As of January 1st, 2021, the Bill and Melinda Gates Foundation will no longer cover the APC for this title. Elsevier supports authors to publish open access; if you have any concerns about paying the APC, please contact us [The LANCET](#) for support and information.

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List Price (excluding taxes)
USD 6,500.00


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A second group of publishers have asked for the rights retention language to be removed either because they deemed it not necessary to comply with or because another compliant route was available to the authors. For example, a journal published by Springer Nature asked for the rights retention language to be removed because it was not required for compliance purposes (because the article was submitted prior to the relevant policy coming into effect). Journals published by Elsevier, the American Chemical Society and Optica all asked for the rights retention language to be removed because of pre-existing publishing agreements that allow Cambridge researchers to publish open access free of charge. In

<https://unlockingresearch-blog.lib.cam.ac.uk/?p=3361>

...but RRS is becoming mainstream....

 **Europe PMC** [About](#) [Tools](#) [Developers](#) [Help](#) Europe PMC plus

Search life-sciences literature (45,025,147 articles, preprints and more)

(ACK_FUND:"for the purpose of open access")

Advanced search

Free full text access 

Full text in Europe PMC (6,868)

Link to free full text (34)

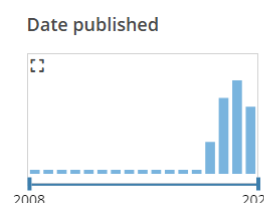
Type 

Research articles (5,071)

Review articles (514)

Preprints (1,317)

Books & documents (0)



1-25 of **6,902 results**  Export citations

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Data-driven blood glucose level prediction in type 1 diabetes: a comprehensive comparison
Nemat H, Khadem H, Elliott J, Benaissa M
Sci Rep, 14(1):21863, 19 Sep 2024
Cited by: 0 articles | PMID: 39300118 | PMCID: PMC11413325
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Lower Limb Chronic Ischaemia Presenting Exclusively as Fungal Toenail Infection: Case Report and Literature Review.
Mokbel K, Daniels R, Alallan M
In Vivo, 38(5):2531-2534, 01 Sep 2024
Cited by: 0 articles | PMID: 39187360 | PMCID: PMC11363748
[+ Add to export list](#) [Review](#) [Free full text](#)

Artificial Intelligence-Based Classification of CT Images Using a Hybrid SpinalZNet.
Maqsood F, Zhenfei W, Ali MM, Qiu B, Rehman NU, Sabah F, Mahmood T, Din I, Sarwar R
Interdiscip Sci, 16(4):907-925, 21 Aug 2024

Dimensions DOCUMENTS

FILTERS FAVORITES

- GROUPS
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- PUBLISHER

PUBLICATIONS 15,788

Evaluation of Kato-Katz and multiplex quantitative polymerase chain reaction performance for clinical helminth infections in Thailand using a latent class analysis
Chawarat Rotejanaprasert, Pavadee Chuacharoen, Joaquin M. Prada, Thanawadee Thantithaveewat, Poom Adisakwattana, Wiri...
2023, Philosophical Transactions of the Royal Society B Biological Sciences - Article
Using an appropriate diagnostic tool is essential to soil-transmitted helminth control and elimination efforts. Kato-Katz (Kk) is the most commonly used diagnostic, but recently other tools, such as r... [more](#)

Urology never events in the United Kingdom: A retrospective 10-year review
Jerocin Vishani Loyala, Andrew Ang, Billy Down, Sarah A. Howles
2024, BJUI Compass - Article
Objectives: The aim was to assess the prevalence of never events (NEs) specific to urology in the United Kingdom and identify commonly occurring themes. Methods: Data from the National Health Service ... [more](#)

The forgotten p-versine and p-coversine family of functions revisited
Ali Hamzah Alibrahim, Saptarshi Das
2024, PLOS ONE - Article
This study delves into special class of generalized p-trigonometric functions, examining their connection to the established counterparts like p-cosine and p-sine functions. We here explore the new cl... [more](#)



Equitable Open Access

- Open Access provides equity for readers: all articles are available to everyone **for reading**.
- However, the current practice largely shifts the cost from the reader to the producer of knowledge: the author or their employer. **This entails a lack of equity for publishing.**
- Article Processing Charges (APCs): one price fits all...
- cOAlition S commissioned a study to explore the potential of using *Purchasing Power Parity* (PPP) as a more equitable way of covering publication costs: “*Pricing Framework to Foster Global Equity in Scholarly Publishing*”
- The “How Equitable Is It” tool, to evaluate publication services
- Alternatives to APC-based/ Gold Open Access : Diamond Open Access



The Diamond Action Plan

- ⦿ **Diamond** Open Access: Open Access journals and platforms that **do not charge fees to authors or readers**. Equitable by nature and design. (Redalyc-Amelica and SCIELO in Latin America)
- ⦿ A plan to align and develop common resources for the entire Diamond OA ecosystem, including journals and platforms, while respecting their cultural, multilingual, and disciplinary diversity.
- ⦿ Initiated and developed by ANR, cOAlition S, OPERAS and Science Europe.
- ⦿ Over 150 organisations have signed up to the Diamond Action Plan to work together in a community.
- ⦿ Taken forward by the 3y–€3m DIAMAS project and the 5y–€5m CRAFT-OA project funded by Horizon Europe for Diamond journals in the ERA.

<https://www.scienceeurope.org/our-resources/action-plan-for-diamond-open-access/>



EU Council Conclusions (May 2023)

- Draft Council conclusions on high-quality, transparent, open, trustworthy and equitable scholarly publishing, under the Swedish Presidency.
- **Immediate open access** to papers reporting publicly funded research should become the norm.
- Member states are invited to “to update their national open-access policies and guidelines to make scholarly publications immediately openly accessible under open licences
- Strong echo of the UNESCO Recommendation on Open Science (2021):
 - Authors should **not** have to pay fees
 - **Non-profit scholarly publishing** models should be supported.



The European Diamond Capacity Hub (EDCH)

To be launched on 15 January 2025

6 services for Diamond OA publishers and Capacity Centers

- **Quality Alignment:**
Diamond OA Standard and self assessment
- **Training Platform:**
training editorial staff
- **Registry & Forum:**
community management



- **Diamond Discovery Hub:**
a list of Diamond OA journals that satisfy 6 operational criteria of Diamond OA
- **Resources & Guidelines:**
how to run a journal
- **Publishing Tools:**
digital resources, services, and platforms



Plan S OPERAS
Making full & immediate Open Access a reality
open scholarly communication in the european research area for social sciences and humanities

SCIENCE EUROPE
Shaping the future of research

anr
agence nationale de la recherche
AU SERVICE DE LA SCIENCE

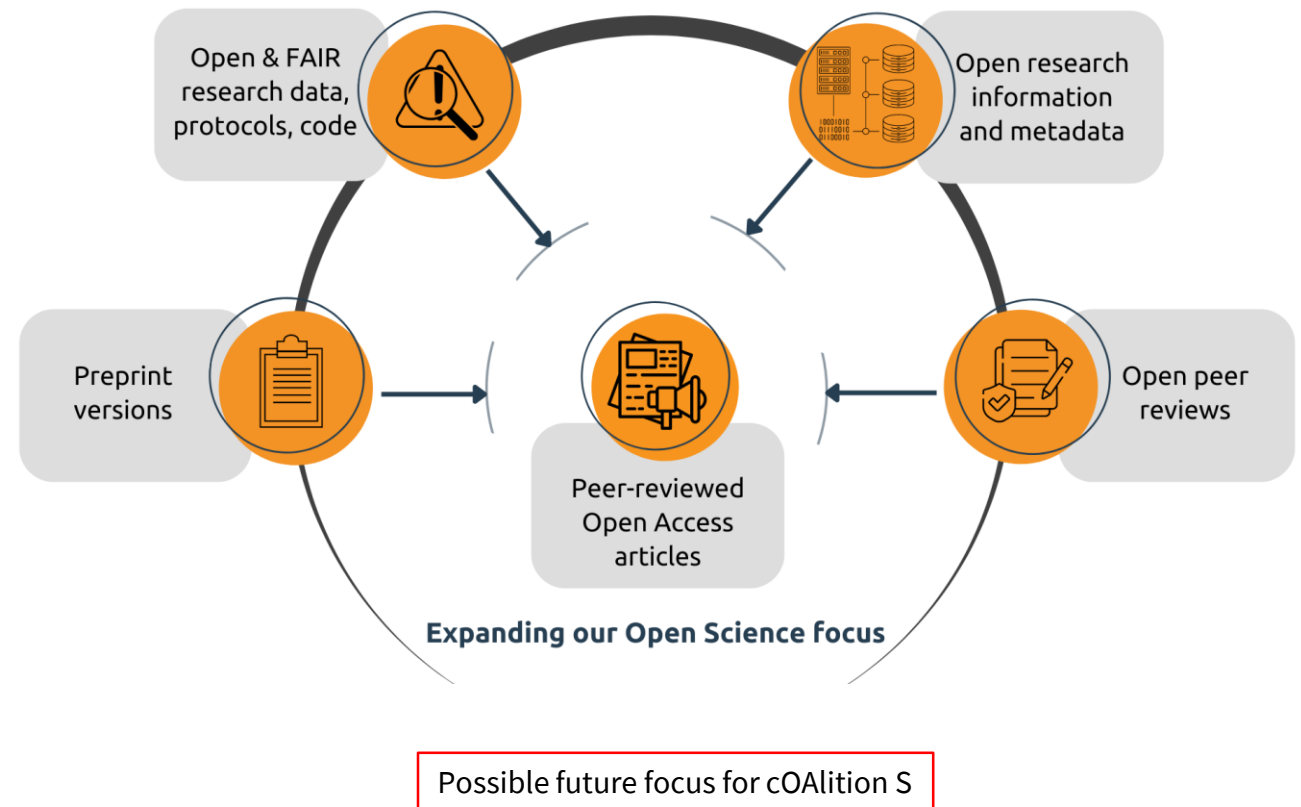


FECYT
INNOVACIÓN

Key developments for a future strategy

Increasing recognition that open science needs more than the OA Version of Record

- Statements from UNESCO, G7 and others are calling for **all** research outputs to be made open, not just the Version of Record.
- Open Access to the peer reviewed article will likely remain our central concern, but we will increasingly work to ensure that the outputs which underpin this are also made Open Access.



Key developments for a future strategy

Increasing recognition of the need for not-for-profit publishing infrastructure

- Growing interest in Diamond OA, as seen in establishment of the Global Alliance for Diamond OA and the planned launch of the European Diamond Capacity Hub
- Plans to establish Open Research Europe (ORE) as a collective, non-profit, open access publishing service for the public good. Preprints + Open Peer Review.



DIAMOND
Capacity Hub

Open Research Europe

Open Research Europe is an open access publishing venue for European Commission-funded researchers across all disciplines, with no author fees.

Accelerate the impact of your research with rapid publication, open peer review, and indexing in databases such as Scopus and PubMed.

Key developments for a future strategy

Five priorities (pending approval of the cOAlition S Leaders Group):

- Continuing the implementation of **current Plan S policies** to achieve full and immediate Open Access to peer-reviewed articles.
- Supporting **equitable and innovative publishing** infrastructure and models: Diamond OA, Publish-Review-Curate (PRC).
- Expanding Plan S policies to include Open Access to **all research outputs related to the article** (data, peer reviews, protocols, metadata...)
- **Protect the rights of funded authors** and users of research outputs (Rights Retention, CC BY, Secondary publishing rights).
- Implement **rewards & recognition mechanisms** for all research outputs of funded authors.

Emerging vision and mission for cOAlition S

VISION (Draft)



Our vision is a scholarly communication system that enables rapid, open, transparent, and equitable sharing of trustworthy scientific knowledge.

MISSION (Draft)



cOAlition S will facilitate the transition towards an open, trustworthy and equitable scholarly communication system, that meets the needs of research and society.

cOAlition S will seek to do this in partnership with the research community, and through its funding requirements and research assessment processes.

Questions & Discussion



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