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The Future of Open Access Publishing: A Perspective from the Open Science Policy Platform

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European Research Council

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European Open Access Agenda

- Aim: full implementation of OA publishing in Europe by 2020
- Open Access = **online access *and reuse* at no charge to the user**
“free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers. The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited (source: Budapest OA Initiative 2002).” Competitiveness Council, May 2016
- Shifting focus from "publishing as fast as possible" to "sharing knowledge as early as possible"
- Requires comprehensive interventions aimed to tailor this shift to the research systems, interactions and cultures being impacted
- This in turn requires coordination among funders, research institutions, researchers, publishers, learned societies

Open Science Policy Platform (OSPP)

- Stakeholder-driven mechanism to bring up and address issues
- Advisory body to EU Commission, providing policy recommendations
 - to help further develop and implement open science policy
 - support policy formulation: help identify issues to be addressed and provide recommendations on policy actions required
 - support policy implementation: review best practices, draw policy guidelines and foster uptake by stakeholders
- High-level representatives of European stakeholders, including science academies and learned societies, universities, research organisations, citizen science organisations, funders, publishers, Open Science platforms and libraries
- Balance between different stakeholders & input* from independent experts and relevant communities

ERA & framework

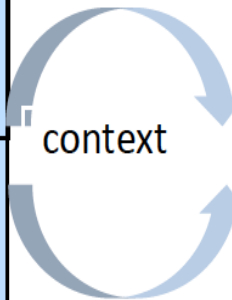
conditions for actors:

- European Charter for researchers
- Code of conduct for Research Integrity
- Charter for Access to Research Infra
- ...

DSM & framework

conditions for data:

- Copyright - TDM
- Data Protection
- Free Flow of Data
- ...



European Commission

advice

Open Science Policy Platform

opinions

Wide input from stakeholders:

- ad-hoc meetings and workshops
- e-platform with wider community
- reports and independent experts

- HLEG on Open Science Cloud
- HLEG on Altmetrics
- HLEG on OA publishing models
- HLEG on FAIR open data

European Open Science Agenda:

1. OA publishing models
2. FAIR open data
3. Open Science Cloud
4. Altmetrics
5. Rewards & careers
6. Education & skills
7. Citizen Science
8. Research integrity

Open Access Publishing Working Group

- December 2016-March 2017: draft of recommendations, feedback from WG stakeholder groups and national funders
- 20 March 2017: plenary discussion with OSPP members and Commissioner Moedas
- March – May 2017: finalization of recommendations, delivery to EU Commission

Jennifer	Edmond (Rapporteur)	Digital Research Infrastructure for Arts and Humanities (DARIAH)
Rebecca	Lawrence (Rapporteur)	F1000
Sabina	Leonelli (Chair, Rapporteur)	Global Young Academy (GYA)
Michela	Bertero	Alliance of 13 top research centres in life sciences (EU-LIFE)
Wolfram	Koch	European Association for Chemical and Molecular Sciences (EUCHEMS)
Ernst	Kristiansen	European Association of Research and Technology Organisations (EARTO)
Michael	Mabe	International Association of Scientific, Technical and Medical Publishers (STM)
Paul	Peters	Open Access Scholarly Publishers Association (OASPA)
Kristiina	Hormia-Poutanen	Association of European Research Libraries (LIBER)
Christophe	Rossel	European Physical Society
Iryna	Kuchma	<i>Electronic Information for Libraries (EIFL) and OpenAIRE</i>
Paul	Ayris	<i>League of European Research Universities (LERU)</i>
Lidia	Borrell-Damian	<i>European University Association (EUA)</i>

Five Key Principles

- **Sustainability:**

- funding must be robust, but this must ensure public value for money
- many points for potential inefficiency and waste in the current system
- recognises that publishing trusted scholarly output does require professional quality assurance
- such services need to be underpinned by sustainable business models and adequate archives for long-term preservation

- **Transparency:**

- sufficient information about OA requirements and modalities of compliance needs to be made available by publishing outlets in a clear and intelligible manner

- **Incentives:**
 - considerable challenges facing researchers navigating OA requirements and payments
 - efficient and field-specific mechanisms, infrastructures, incentives and rewards need to be in place
 - this must be implemented and advocated by all stakeholders
- **Research Evaluation:**
 - unhelpful/erroneous reliance on measures based on the outlet where research has been published
 - for OA to succeed, evaluation systems need to be based upon indicators of the quality and impact of the output itself
- **Community involvement:**
 - domain experts are the people best able to judge emerging work on its merits
 - researchers and research institutions need to participate more actively in decision-making around strategies and solutions for OA, e.g. through learned societies and field-specific venues for debate

Recommendation 1:

Stakeholder communities, member states and the European Commission should jointly assess and identify how the OA mandate should be achieved by 2020

- The **European Commission, member states and the international research community** should work together to develop a roadmap for different fields to achieve OA by 2020
- **Communities** that have not yet started implementation should be supported to develop a **clear implementation plan**, covering shifts in both communication norms and deeper cultural issues and regular monitoring of progress. Implementation plans should be supported by **publishers, funders and research institutions** and include **appropriate adjustments in evaluation systems** to ensure recognition of OA publishing
- **Publishers, learned societies, research institutions, libraries and funders** need to develop new **business models** to guarantee immediate OA

Recommendation 2:

Progress toward full OA must take into account how fast the publishing system is changing, and how scholarly communications are growing in richness and variety

- Importance of traditional forms of scholarly communication (e.g. **book**), but also **methods, protocols, software, data, models, metadata, materials**. These may take us far beyond the current models of green/gold and hybrid to a larger range of options in the near future, and must be incorporated into any consideration of OA
- **Research communities** should engage in **foresight exercises** regarding the future of scholarly communications in their disciplines. **Research institutions, funders and publishers** should incentivise researchers to try out new models of sharing/publishing their work to maximise its impact and usability by others.
- **Stakeholders** in the system should collaboratively explore **ways to bring overall system costs down and create new approaches to long-standing challenges**, such as repeat assessment and reviewing of research outputs across multiple outlets to secure publication. These experiments must be evaluated, documented and their results shared. This exploration should be supported by the **European Commission**.

Recommendation 3:

One size does not fit all – even if the end goal for all disciplines may be the same. Issues of compliance, including both incentives and enforcement, should be proposed, clarified and harmonised in a discipline-sensitive way.

- The adoption and implementation of the OA2020 mandate must **consider disciplinary and regional differences** to avoid introducing perverse incentives into the system (especially when customer base is small and not internationally visible, e.g. history, literature)
- **Publishers** should **share experiences of pilot projects investigating new models of OA based on alternative business models and alternative approaches to review procedures**. **Research institutions** should develop mechanisms to identify, discuss and incorporate relevant innovations, and share results widely.
- The **EC** should instigate an **analysis of the business models of society publishers in and across countries and language groups**.

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- **Research communities and institutions** must convene to **review the openness of their publishing practices, share examples of best practice, and suggest measures to support their progress** by 2020 and beyond.
- The **European Commission and member states** should ensure that the concerns of funders are integrated into whatever roadmap is agreed. **Funders** need to agree on how their principles can map to the process of implementing full OA, and what incentives/requirements should be deployed. The broader **research communities, institutions, publishers and metrics/analytics providers** should provide input.

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- **Research institutions and funders** should undertake, evaluate and share experiences of **pilot projects to assess researchers utilizing measures that actively recognise open science behaviours**. The **European Commission** should promote the results of these pilots.
- **Research institutions and their representation groups** must take the lead in facilitating the adoption of OA across all disciplines by **supporting adequate evaluation procedures and publishing platforms**.

Recommendation 4: Publishing options must be made clear and easily accessible

- It remains difficult for many researchers to make their work easily and quickly compliant with OA requirements.
- It is crucial that publisher policies and pricing options are made as visible, accessible and transparent as possible to allow researchers to understand and evaluate their options early in the research process, before any commitments or decisions are made.
- The **Commission** should design a **clear, researcher-friendly system to make it easy for researchers to recognise publisher policies with regards to OA pricing, embargoes and related OA practices** (e.g. open data and open peer review). **Publishers** must agree to display this informational mark, and ensure that authors have easy access to publishing and pricing options with any given outlet.

Recommendation 5:

From 2020, the European Commission must move toward a broader definition of OA that incorporates the full range of emerging formats and applications of scientific research output

- Many (but not all) stakeholders in the OSPP recommend that the definition of OA include free, immediate access to research outputs upon publication, **with the right to re-use the content**. In this context, “research outputs” could be understood to refer to articles and books, but also data, software, models and protocols and other formats meaningful and accepted in specific disciplines. It should be noted that **at the moment there are few business models for OA that guarantee immediate access to publications**.
- Once the objectives of 2020 have been achieved, the **Commission** must **broaden its definition of OA**.

Steps forward for the OSPP

- We are finalising recommendation over the next two weeks – get in touch with myself, Jennifer Edmond or Rebecca Lawrence to provide feedback
- Recommendations will feed into work of **Expert Group on Future of Scholarly Publishing (call for expert members now out)**
- Recommendations will also inform work under way in OSPP Working Groups on **Altmetrics, Rewards, Skills, EOSC** and **FAIR data**

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Five Recommendations

- 1. Stakeholder communities, member states and the European Commission should jointly assess and identify how the OA mandate should be achieved by 2020.**
- 2. Progress toward full OA must take into account how fast the publishing system is changing, and how scholarly communications are growing in richness and variety.**
- 3. One size does not fit all – even if the end goal for all disciplines may be the same. Issues of compliance, including both incentives and enforcement, should be proposed, clarified and harmonised in a discipline-sensitive way.**
- 4. Publishing options must be made clear and easily accessible.**
- 5. From 2020, the European Commission must move toward a broader definition of OA that incorporates the full range of emerging formats and applications of scientific research output.**