

## **1. Context and background information**

The appointment of independent experts will be financed according to the provisions of the Horizon 2020 Work Programme 2016/2017, Part 13 'Europe in a changing world – inclusive, innovative and reflective Societies' (European Commission Decision C(2017)2468 of 24 April 2017)), Other Actions 24 'Support to Open Science' (pp. 133-134).

In order to continue providing strategic advice to the Commission, as indicated in the Work Programme, on the development and realisation of the European Research Area (ERA), the Innovation Union and the different aspects of Open Science, several groups of experts have been established on selected issues covering the three policy priorities of the Commissioner.

The Expert Group (hereinafter referred to as the 'group') will be set up to support the Research and Innovation policy development on Open Science and contribute to the priority on Open Science.

## **2. Purpose, objectives and scope**

The Commissioner for Research, Science and Innovation has made Open Science a strategic priority. The outcomes of a Public consultation on 'Science 2.0: Science in Transition' made it clear that a range of issues needs to be addressed in a stakeholder-driven process. Open Science is the global process of transformation and opening up of science and research through information and communication technologies, and is a key ingredient of the transition towards a data-driven economy and society.

A very prominent part of Open Science is open access to scientific peer reviewed publications. Accordingly, the Open Science agenda contains the ambition that *all* peer reviewed scientific publications should be freely accessible online. This entails a transition towards full open access. Additionally, the advances of technology are leading to a more diverse scholarly communications ecosystem with the emergence of new types of research outputs (e.g. blogs, data publications, overlay publications), of new ways of evaluating research (e.g. open peer-review/post-publication peer-review), of more diverse ways of measuring the impact of research outputs (altmetrics). These changes result into new business models in scholarly communications often with new actors and new roles in the ecosystem (some models were explored in a 2015 EC Workshop on Alternative Open Access Publishing Models).<sup>1</sup> Accordingly, the wider research and academic system is called upon to bring institutional changes, such as to enhance skills related to open science and data, to provide incentives and rewards to researchers, to modify accordingly researcher evaluation systems.

In this context of developments leading to open science and in view of the advancement of the European Commission's relevant policies, the Expert Group on the *Future of Scholarly Publishing and Scholarly Communication* will **assess** emerging and alternative open access business models **with the aim of establishing how an economically viable transition**

---

<sup>1</sup> See <https://ec.europa.eu/digital-agenda/en/news/save-date-12-oct-ec-workshop-alternative-open-access-publishing-models>

**towards open access can be achieved.** An important element of the group's work will be **establishing general principles for the future of open access publishing and scholarly communication.**

The group will consider issues including the workings, costs, transparency and sustainability of open access business models, equality of access to models and solutions (for individual Member States and stakeholders), ownership of research outputs (for example in terms of copyright and ownership of journal title), recognition of authorship and peer-review work, as well as the role of peer-review mechanisms (for example current methods v. more innovative pre/post publication practices) etc. The group will take into account the fact that open access is expanding beyond scientific articles to other types of scholarly output (e.g. research data, software, among others) and evaluate the impact of this change for scholarly publishing and scholarly communication.

This Expert Group is expected to take into consideration, among other things, current developments, literature, as well as the work already completed or underway by the OSPP and its working groups, and other relevant Expert Groups set up by the European commission.<sup>2</sup> This Expert Group replaces and builds on the work carried out by the OSPP working group on open access publishing for part of its remit.

The inputs received by the group will, inter alia, be considered in the designing of open access policy under the current and future Framework Programmes for Research and Innovation.

More specifically, the group will address the following issues:

- i. How further to develop open access funding mechanisms and business models in view of establishing an economically viable transition to open access, including – but not limited to:
  - a) for 'Gold' open access: current and emerging APC and non-APC models, including but not limited to proposed models for transition to 'full Gold' (e.g. the OA2020 model, consortial disciplinary-based models such as SCOAP3); the implications of the 'big offsetting deals'; collective non-APC not-for profit and/or institutional publishing models (such as the Open Library of The Humanities, OpenEdition); 'fair Gold OA' initiatives (addressing, e.g., transparency of APCs). Further, the group will examine the cost implications of the hybrid model, avoidance of 'double dipping' in this model and the feasibility of setting a ceiling for APCs. The experts will also take into account the experiences and results of the FP7 Post-Grant Open Access Pilot.
  - b) for 'Green' open access: the role and potential of repositories in the context of open science and the implementation of open access policies; issues of infrastructure (e.g. sustainability, interoperability, services); embargo periods for 'green' open access, among others.
- ii. New ways of communicating scholarship, related services and business models and their impact on scholarly communication practices in the context of open access and open science; for example, data publications, blogs, overlay publications, new types of peer-review, among others.

---

<sup>2</sup> Especially those mentioned at <https://ec.europa.eu/research/openscience/index.cfm>

- iii. Identifying promising scholarly communication and publishing models and their potential scaling to a larger level, potentially through pilot actions in Horizon 2020 and/or its successor Framework Programme for Research and Innovation.

### **3. Working approach and methodology**

The group is composed of maximum **twelve experts** selected by the Commission upon assessing the applications submitted in response to the call published in the Commission Registry for Expert Groups and other Similar Entities in March 2017. It comprises six individuals (Type A), selected to represent the public interest, and six representatives of institutions (Type C) with activities related to scholarly publishing. Members of Type A have been selected to reflect as much as possible a balanced composition in terms of skills, experience, knowledge, geographical diversity and gender.

The Commission has nominated a **Chairperson** and a **Rapporteur**. The Chairperson will decide the group's working methods in close collaboration with the Rapporteur and the other members.

The Commission may invite appropriate external observers to participate in one or more of the group's meetings, on an *ad hoc* basis ('hearings'), in order to obtain feedback from the community. However, the Commission will not reimburse any costs of such externals. Relevant externals (if any) will be identified by the group, with input from the Commission as needed.

If a member of the group withdraws, the Commission may add a replacement member. Both the Chairperson and the Rapporteur will have joint editorial responsibility for the Final Report. The Final Report shall be jointly endorsed. Where consensus cannot be reached, minority opinions will be recorded. After submission, the Commission may take editorial responsibility.

Commission staff responsible for the group will be in regular contact with its members and notably the Chairperson and the Rapporteur to ensure the smooth running of the work. The Commission will provide the group with all relevant information available. Other Commission staff from DG Research and Innovation or other Commission departments may attend the meetings of the Expert Group.

### **4. Distribution of work among the experts**

Each member will take an active part in deliberations and drafting activities. The division of work among is as follows:

- i. The **Chairperson** will coordinate the work of the Expert Group and organise the meetings – in cooperation with the European Commission. She/he will oversee the work of the group, set reporting requirements and quality control procedures. She/he will prepare the meeting agendas, direct the meetings, organising the work of each member (including discussion of work done and to be performed, and written contributions). The Chair will summarise the main conclusions and actions arising before closing each meeting. The Chairperson, in agreement with the Rapporteur and the Commission, will draw up the structure of the report due as a deliverable.
- ii. The **Rapporteur** will work closely with the Chairperson and prepare the final report on the basis of the other members' contributions. Where applicable, the Rapporteur may be

responsible for producing draft summaries of the meetings other supporting documents, if required. The Rapporteur will be responsible for drafting the deliverable(s).

- iii. Each **expert** will be in charge of contributing effectively to the delivery of the expected outcomes by virtue of expertise, discussions and written contributions according to the Chairperson's guidance and on the basis of the agreed methodologies. Each expert will take an active part in the work through deliberations, presentations, drafts and/or comments of drafts of the expected outcomes.

## **5. Meetings, reports and deadlines**

The group will carry out both collective and individual work over a period of circa 12 months in 2017/2018. During this period, the group will meet physically circa three times.

Other meetings may take place remotely through teleconferencing to take stock of progress and discuss outstanding issues. The dates of each meeting will be jointly agreed with the Commission.

On request of the European Commission, a meeting could be scheduled e.g. for an official presentation of the Expert Group Final Report.

Before the first meeting, the experts may be invited to remotely interact with the Commission for the detailed planning of their work.

All meetings will take place in Brussels on the premises of the European Commission, unless it is deemed appropriate by the Commission and efficient to meet elsewhere. The following meetings are foreseen (exact dates will be determined with the Commission):

- Second half of 2017: Meeting 1 ('Kick off meeting'). The main purpose is devising chapters and issues to be covered for the Expert Group Final Report and the division of tasks.
- First half of 2018: Meeting 2 ('Progress meeting'). Discussion of the first chapters and presentation of initial results.
- Second half of 2018: Meeting 3 ('Final meeting'). Finalisation of the Report.

The group will deliver a **Final Report** (target: circa 40 pages) in English containing general principles and specific recommendations for the future of scholarly communication and open access publishing, including

- i. **A review of 'Gold' and 'Green' open access models** and their potential further development;
- ii. **An analysis of new types, venues and models for scholarly communication and their potential scalability**: assessment of their strengths and weaknesses with a view to open access policy development for the current and future Framework Programmes for Research and Innovation;

The recommendations will be directed to main stakeholders, including the European Commission.

## **6. Experts' profiles**

The selection of the members was based on their competences and the requirements of the tasks addressed. The tasks require vision, creativity and the capacity to ensure impact. Therefore, the group shall represent a good mixture of academic, professional and policy-making background.

Members will work together based on their collective expertise in economics of open access, open access and research impact, open access and peer-review, research infrastructure, open access publishing and bibliometrics, the evolution of the scientific publication market and scholarly communication, and open access publishing models.

Nr.	Name	Surname	Gen.	Nat.	Affiliation	Role	Type
1	Jean-Claude	GUÉDON	M	CA	N/A	<i>Chair of Expert Group</i>	A
2	Michael	JUBB	M	UK	N/A	<i>Rapporteur of the Expert Group</i>	A
3	Birgit	SCHMIDT	F	DE	N/A	Member	A
4	Bianca	KRAMER	F	NL	N/A	Member	A
5	Mikael	LAAKSO	M	FI	N/A	Member	A
6	Elena	Šimukovič	F	LT	N/A	Member	A
7	Jennifer	HANSEN	F	USA	Bill and Melinda Gates Foundation	Member	C
8	Robert	KILEY	M	UK	Wellcome Trust	Member	C
9	Willem	VAN DER STELT	M	NL	SpringerNature	Member Member	C
10	Anne	KITSON	F	UK	Elsevier	Member	C

Nr.	Name	Surname	Gen.	Nat.	Affiliation	Role	Type
11	<b>Kamilla</b>	<b>MARKRAM</b>	F	CH	Frontiers	Member	C
12	<b>Mark</b>	<b>PATTERSON</b>	M	UK	eLife	Member	C

## Members

The Commission may choose to renew the member of the Expert Group, change its size or revise its working method in light of these considerations.

The Commission may choose to amend the Terms of Reference

## 7. Expert short biographies

**Jean-Claude GUÉDON** (Chair) is Professor of comparative literature at the Université de Montréal and a specialist of digital media and internet studies. His experience includes the Internet Society (three-time Chair of the Programme Committee), the Canadian Library Consortium (Advisory Board Chair), the Information Programme of the Open Society Foundations (Board member), eIFL (Board member) and the Canadian Federation for the Humanities and Social Sciences (Vice-president). He is presently a Trustee of Nexa - Internet and Society at the Turin Politecnico. A frequent lecturer all over the world, he is also acting as expert with the European Commission and other national bodies. A pioneer in electronic scholarly publishing, he is also very active in the open access movement.

**Michael JUBB** (Rapporteur) has more than thirty years' experience in higher education and research policy and administration. From 2005 to 2015, he was the Director of the Research Information Network (RIN). During that period, he was responsible for some fifty reports on various aspects of the scholarly communications system, involving all the key groups of players, from research funders, policy-makers and administrators to libraries, publishers, data centres and – most important – researchers themselves. From 2011 to 2013 he served as the Secretary to the 'Finch Group', and in 2015 he was responsible for the report Monitoring the Transition to Open Access. Since the beginning of 2016 he has been working as an independent consultant.

**Birgit SCHMIDT** (Member) coordinates international and national projects and initiatives in the Electronic Publishing unit at Göttingen State and University Library, with a focus on policies, infrastructures and training supporting the implementation of open access and open science. She serves as Scientific Secretary and working group co-chair for LIBER's Steering Committee on Scholarly Communication and Research Infrastructures. Over the last decade, she has contributed to several committees, e.g. the Belmont Forum's working group on Open Data and Knowledge Exchange's Open Access Experts Group. Previously, she acted as Scientific Manager of the European OpenAIRE project (2009-2012) and as Executive Director of the Confederation of Open Access Repositories (COAR). She has a background in Mathematics and Philosophy, and a postgraduate degree in Library and Information Science.

**Bianca KRAMER** (Member) works at Utrecht University Library as librarian for biomedical sciences. She is charting the changing landscape of scholarly communication in the project

'Innovations in Scholarly Communication' – conducting a global survey to investigate the choices researchers are making and why, and is a member of the steering group of the Force11 Scholarly Commons initiative.

**Mikael LAAKSO** (Member) recently received a doctorate degree from Hanken School of Economics studying aspects related to Open Access in scientific publishing. Since 2009 he has closely followed the development of OA looking at how the phenomenon has gone through a rapid growth phase which is yet to slow down. There has been a sustained lack of empirical research about the development of most forms of OA but Laakso's research together with the OA research group at Hanken has contributed to the availability of metrics about the current and historical uptake of OA. Currently Laakso is taking a closer look at the growth patterns of author-paid OA options.

**Elena ŠIMUCOVIČ** (Member) is a doctoral student at the Science and Technology Studies Department at the University of Vienna, Austria. Her studies focus on open access, and specifically applying theories and concepts from social studies of science to look at current developments in scholarly publishing through a broader lens. She also works as a Specialist on Open access at the Library of the Vienna University of Economics and Business and has worked as a research management coordinator at Humbolt University Berlin, in the past.

**Jennifer HANSEN** (Member, on behalf of the Bill and Melinda Gates Foundation). The Bill & Melinda Gates Foundation (or the Gates Foundation) is a [private foundation](#) founded by [Bill](#) and [Melinda Gates](#). The primary aims of the foundation are, globally, to enhance healthcare and reduce extreme poverty, and in America, to expand educational opportunities and access to information technology. To achieve these aims the Gates Foundation funds an increasing number of research grants. As a funder it has adopted a strict open access policy since 2014, while it recently announced the launch of the Gates Open Research platform. Jennifer Hansen is the Senior Officer of Knowledge and Research Services and Open Access Lead at the Gates Foundation and has proven and relevant competences in the areas of open access publishing and scholarly communication. She has been heavily involved in the development of the Gates Foundation's Open Access Policy and led the successful implementation of the policy to its completion. She conceptualized and led the development of Chronos, a new product to help grantees publish on the foundation's open access requirements. Chronos can scale to other funders and institutions.

**Robert KILEY** (Member, on behalf of the Wellcome Trust). The Wellcome Trust is a biomedical research charity based in London, United Kingdom. It was established in 1936 to fund research to improve human and animal health. The aim of the Trust is to "achieve extraordinary improvements in health by supporting the brightest minds", and in addition to funding biomedical research it supports the public understanding of science. The Wellcome Trust is likely the largest provider of non-governmental funding for scientific research and one of the largest providers in the world. Robert Kiley has been instrumental in setting up the open access policy of the Trust, has been responsible for setting up Europe PMC, a full text OA repository for research outputs in the life sciences. He was member of the Finch Committee in the UK, as well as spearheaded the development of the Wellcome Trust's open access publishing platform, the Wellcome Open Research, among other things.

**Willem van der STELT** (Member, on behalf of SpringerNature). SpringerNature is a major actor in scholarly publishing, including open access. The publisher has published roughly

80,000 open access journal articles in 2016. SpringerNature makes academic research freely accessible and discoverable through partnerships, innovation and collaboration with communities across science, technology, medicine, the humanities and social sciences. They invest in bringing open science aspects, eg data publishing, open peer review, pre-publication availability of content, open references, LOD into a mature phase. Willem van der Stelt is Director of Strategic Relations in SpringerNature and has extensive knowledge and experience in scholarly publishing, both from a business perspective as well as from the perspective of the needs of the consumers and authors. He has an in depth knowledge of the global publishing landscape, especially with respect to the developments in open science and open access publishing. He has also held a number of positions in the publishing industry before SpringerNature.

**Anne KITSON** (Member, on behalf of Elsevier). Elsevier is an information and analytics company and one of the world's major providers of scientific, technical, and medical information. It was established in 1880 as a publishing company. It is a part of the RELX Group, known until 2015 as Reed Elsevier. Elsevier's products and services include the entire academic research lifecycle, including software and data-management, instruction and assessment tools. Elsevier publishes approximately 420,000 articles annually in 2,500 journals, and some of the most prominent journals in the world in various disciplines. Anne Kitson is Executive Vice President, Physical Sciences, STM Journals and has over thirty years of experience in publishing, including open access. She has had various publishing positions in important publishing venues in Europe, including Oxford University Press and Blackwell. She has been personally involved with launching a large number of open access titles for Elsevier of the years and contributing to Elsevier's high level strategic planning and policy-making process.

**Kamilla MARKRAM** (Member, on behalf of Frontiers). Frontiers is a very active open access scholarly publisher, information technology (IT) company and innovator on a mission to empower researchers, to make research results openly available to the world, and to accelerate innovation, societal progress and economic growth. Frontiers delivers open access publications rapidly at scale via a purpose-built open science platform created and refined in-house. Attention is given to comprehensive networking of article and related information to enable interdisciplinary collaboration. The company mainly operates on the article processing charge model. Kamilla Markram is an active neuroscientist, co-founder and Chief Executive Officer at Frontiers since its launch in 2007.

**Mark PATTERSON** (on behalf of eLife). eLife is a funder-supported publisher and technology organization with the mission to drive broad improvements in scholarly communication in particular within the biomedical and life science fields. eLife has launched an influential open-access journal that incorporates many innovative features, including collaborative peer review, an open-source tool for browsing content (eLife Lens), and novel editorial formats. Mark Patterson is the Executive Director of eLife, and was previously involved Director of Publishing of PLOS. He has longstanding experience in publishing and scholarly communications. He has most recently been involved in the Initiative for Open Citations.