

OSI 2018

REPORT ON THE
1ST SUMMIT MEETING OF THE GLOBAL
OPEN SCHOLARSHIP INITIATIVE
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THE OPEN SCHOLARSHIP INITIATIVE

OSI2018 SUMMARY REPORT

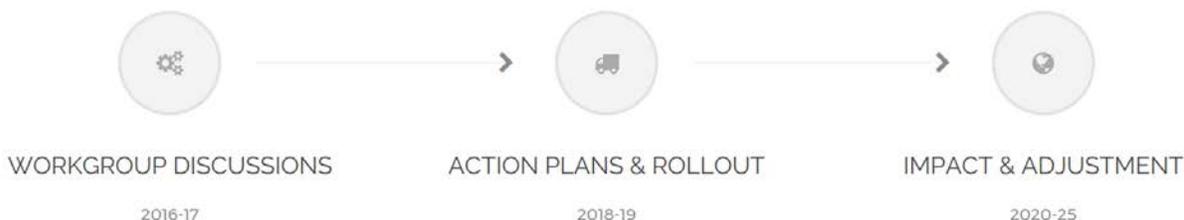
BACKGROUND

The Open Scholarship Initiative (OSI) is an ambitious, global, multi-stakeholder effort to improve the flow of information within research and between researchers, policymakers, funders and the general public. OSI's main goals are to improve the openness of research and scholarly outputs, lower the barriers for researchers and scholars everywhere to engage in the global research community, and increase opportunities for all countries and people everywhere to benefit from this engagement. Closely connected to this work, OSI is also focusing on correcting a broad range of scholarly communication deficiencies and inefficiencies—without these corrections, open will not be achievable or sustainable.

There is no other undertaking like this, focusing on improving the entire landscape of scholarly communication by truly working together on this vital task across institutions, disciplines, regions and stakeholder groups. Working together is the single most important and unique feature of OSI. After all, who speaks for scholarly communication reform today? Is it researchers (and if so, from what disciplines or institutions)? Governments or funders (which ones)? Universities or university libraries? Open access advocates? Publishers (new or old, big or small, subscription or open, north or south, scholarly societies or university presses)? Ask anyone from any of these groups what scholarly communication means and where it's headed and you'll hear plenty of ideas—some that overlap and are coordinated, others that diverge and are truly at odds, some that address niche concerns and others with broader audiences and ambitions in mind. The scholarly communication reform space is awash with activity. But overwhelmingly, not enough of this work is undertaken in a coordinated, global, multi-stakeholder manner, and even less fully considers the global and multi-stakeholder impacts of reform proposals across regions, institutions and disciplines. There simply isn't a global mechanism to debate and evaluate these proposals, let alone a mechanism with the authority to do more—coordinate, develop, or even fund this kind of work.

It is precisely because the scholarly communication stakeholder community is so diverse, and because developing and implementing solutions requires broad and global input and commitment, that UNESCO, the Science Communication Institute (SCI) and George Mason University launched OSI in the Spring of 2015. The first step in OSI's journey has been to understand the perspectives of each of the 18 stakeholder groups and 250 institutions represented in OSI and search for common ground. This stage of OSI took place during 2016 and 2017. The next two years, 2018 and 2019, will be spent identifying what course adjustments can be made to the current system to continue to improve scholarly communication

and what assistance OSI can offer—new standards, new incentives, better definitions, coordinated policies, collaboration efforts, formal partnerships, new studies, pilot products, and so on. Actively involving the research community and stakeholder representatives from all parts of the globe will be critical during these next few years to make sure we’re doing the right things for the right reasons. Our hope is that by 2020 the OSI group will be fully engaged in significant reform efforts, fine-tuning these efforts through 2025.



The Big Challenge

What is OSI all about? Our elevator pitch has been somewhat elusive. In brief, OSI is committed to unleashing the full potential of research by making it easier to access and share. There are several different organizations working on just one specific aspect of this problem (e.g., open access publishing) but OSI is the only organization trying to tie everything together and coordinate big picture solutions that are broadly adoptable, realistic and sustainable. Funding for this work is sparse. OSI operates with 1-2 FTEs and hand-to-mouth funding—not even enough to manage the current work involved, let alone everything that’s on our 10-year to-do list. Other “open” work is also difficult to fund, but this may be because open is currently viewed by funders as a narrow issue with narrow constituencies promoting solutions that aren’t realistic or widely accepted. The big challenge of unleashing the full potential of open will, in our opinion, persist until the open movement becomes broader and less polarized.

Local Conditions

OSI is built on the National Academies Keck Futures Initiative (NAKFI) multi-stakeholder deliberative model. In this regard alone, it is a unique and safe deliberative space in research communication. This group also understands that: (1) Despite our enormous collective expertise, there are significant gaps in our understanding of many key issues, (2) OSI is not immune from the polarization of opinion that affects the open reform space in general, (3) OSI is under-resourced to do all this work alone, and (4) The OSI group will need to come up with new ways of communicating in order to push past simply discussing issues to actually working on them. We have done our best to arrive at a 2018-19 action plan as a group, but realize it is imperfect. The next step will be to begin adjusting this plan based on feedback, promoting it to OSI members and building bridges to possible implementation partners, allowing flexible uptake and adaptation, and making adjustments along with the way.

Our Tactics

OSI is a “Field of Dreams” approach—build it and they will come. What happens when open improves, we think, will eventually lead to improvements across the research benefits

spectrum—including more visibility for research work, more collaboration between fields, more discovery, better public understanding and improved public policy. No one else is taking OSI's approach to strengthening the foundations of open, and yet this strengthening is arguably the most important step in upgrading our current research systems for future success. The specific problems OSI is addressing are (1) a lack of coordination of other reform efforts in this space, (2) the fact that some of these efforts are not designed for broad adoption, therefore impeding more rapid progress on open, and (3) a lack of information and understanding about the true dimensions of this issue. These are OSI's tactical inroads and insights to-date: (1) The focus of open cannot be only about cost-savings. Open is going to cost money—the jury is still out on exactly how much, (2) Aside from the cost involved there is mixed messaging in this space (both in terms of what's being communicated at academic and research institutions and from whom) and a lack of incentives for several key audiences, namely researchers, (3) Publishing is critical. Without publishing, preservation and access, there is no modern scholarly record, (4) Stakeholder groups are more alike than unlike in their goals and values. There is ample common ground, (5) Convergent needs are prevalent everywhere, (6) We need to get institutions invested in this effort (not necessarily financially). We all have a stake in the outcome, (7) This conversation needs trust to move forward, and (8) OSI is on the right track and can help advance this conversation.

Sustainability

Given adequate funding, OSI will be able to hire additional personnel who can focus on fundraising and outreach. We can also begin rolling out our 2018-19 plans more aggressively. These two actions—broader outreach and faster rollout—will, we hope, lead together to more exposure for OSI and more funding possibilities. This said, OSI is a 10-year program, with two years down and eight to go. We won't need long-term financial sustainability—only long enough to accomplish our goal of establishing a new global framework for managing scholarly communication, after which point the scholarly communication community will incorporate these changes into their own frameworks, or if long-term oversight is needed, figure out a way to perpetuate OSI through membership charges or some other community support structure.

Timeline and Key Milestones

Because the scholarly communication stakeholder community is so diverse, the first step in this group's journey has been to acknowledge and value where each stakeholder group is in the process. This stage of OSI took place during 2016 and 2017. The next two years, 2018 and 2019, involve figuring out what course adjustments can be made to the current system to continue to improve scholarly communication and what assistance this community can offer—new standards, new incentives, better definitions, coordinated policies, collaboration efforts, formal partnerships, new studies, pilot products, and so on. Actively involving the full international community will be vital during these next few years to make sure we're doing the right things for the right reasons. Our hope is that by 2020 the OSI group will be fully engaged in significant reform efforts, fine-tuning these efforts until 2025.

Budget Narrative

Our biggest need is personnel—hiring people who can help reach out to stakeholder groups to engage them more fully in this conversation, who can devote significant time to grant-writing

and other development work, and who can assist with the growing organizational and logistical demands of OSI, from organizing global conferences to managing online workgroups. We also need resources to build out solutions like websites and databases (a subcontracted expense), fund studies to improve our understanding of this issue (subcontracted), and support meetings (mostly in the form of travel support for delegates). To-date, about 25% of OSI's support has come from UNESCO, 25% from commercial publishers, 25% from foundations, and 25% from OSI participants (in the form of conference registration fees). Our 2016 budget was about \$169,000, and our 2017 budget about \$134,000. Almost all of these amounts went toward OSI's annual conference expenses.

2018-19 Budget Needs (\$500k)

- Outreach & conference manager, development manager (\$50k ea x 2 years), \$200k
- Subcontracts for product development (\$50k), studies (\$100k), \$150k
- Travel (helping delegates attend meetings), \$50k
- Meeting expenses (\$50k/yr x 2 yrs), \$100k

Expected Support

As described above, OSI received \$169,000 in conference support from UNESCO, commercial publishers, foundations, and conference participants in 2016, and \$134,000 of support from these sources in 2017. In 2018, we hope to receive about \$45,000 in support from UNESCO, \$20,000 from the Sloan Foundation, and \$30,000 from publishers.

Private Benefit

As a nonprofit charity, SCI (which oversees OSI) is cognizant of the need to ensure that our limited funds are used for public benefit, and to be transparent and accountable about all our income and expenditures. Furthermore, we rely a great deal on volunteer support and will continue doing so to get the most mileage from our sponsor dollars. The program director's annual "salary" is the wildcard in this equation. This amount is currently US\$29,500 for full-time work. Before this salary increases to more competitive levels, our first priority will be to get OSI running at top speed.

Risk Management & Mitigation

The greatest risk to OSI is participant fatigue. We've been debating what to do now for about two years. Fortunately, our March 2018 summit meeting has prepared a fresh new take on our 2018-19 action plans. The second greatest risk is overpromising. Too many efforts like this make grand pronouncements about how they're going to change the world, only to realize a few years later than they bit off more than they could chew. We're working hard to ensure that we create a plan that is achievable, and that we bring together and build upon other existing efforts in this space. A final significant risk is infighting. The open reform space contains many very polarized opinions and narrowly tailored solutions. We will continue reaching out to all groups to ensure that all partnerships and perspectives are welcome.

Other Considerations

Fully implementing OSI will require around \$1.4 million per year. We will continue to explore funding options for this effort, including revenue streams from advertisers, subscribers, sponsors, and so on, in order to ensure the sustainability of OSI's work for as long as it is needed.

OSI2018 MEETING SUMMARY

When the roadmap for OSI was first being developed in 2015, our original intent was to hold a series of 10 annual meetings beginning in 2016. After the first two meetings, however, it became apparent that the next step in this process should be to pause and have just the summit group meet to formally discuss and plan what comes next. This decision was also necessitated by the lack of a large enough budget to put together another full-group meeting for 2018.

The full OSI summit group currently consists of 35 members appointed by the OSI program director to represent all 18 stakeholder groups by quota (see Annex section for details). Eighteen members of this

group met in person at American University in Washington DC on March 12-14, 2018. In attendance were Bryan Alexander, Rick Anderson, Kim Barrett, Nancy Davenport, Joann Delenick (virtual attendee), Mel DeSart, Chris Erdman, Glenn Hampson (ex officio), Patrick Herron, Gemma Hersh, Claudia Holland, Bhanu Neupane, Joyce Ogburn, Eric Olson, Abel Packer, T Scott Plutchak (interim Summit chair), Wim van der Steldt, and John Warren.



The American University was our host for this event, providing meeting space, IT support and catering. Many thanks to American University Librarian Nancy Davenport and her team for coordinating this effort and making this important meeting possible.

The overall goal of this first in-person meeting of the summit group was to discuss and formally approve detailed action plans for the coming months as OSI shifts from an information gathering mode to a more action oriented one. Many fundamental questions were also discussed. This meeting allowed us to debate perspectives on OSI's reason for being, what we hope to accomplish, and how. To this point, the answers to these questions have all been debated online or imposed on this group. This was our first opportunity, other than in email conversations, to really dig deeper and wrestle with the realpolitik of what OSI plans to accomplish. Some of the questions covered were:

- What is OSI and how do we work? Are we to be a convener, a synthesizer, a mechanism for action? Is synthesis the first stage, or would representing diversity be more valuable? Are we a RAND Corporation-like think tank? A scholarly communication “observatory”? A coalition of the willing? Should our approach be to first understand and educate, then develop a plan? UNESCO believes a resource base would be very useful for most of the world and indeed already considers OSI as fulfilling its mandate to support a “Network for Open Access Scholarly Information Resources (NOASIR).”
- How valid is our “mandate”? This is somewhat of a complicated question. While OSI has no conferred regulatory authority (and it’s unlikely that any non-state actor could have such authority across the many institutions and stakeholder groups represented in OSI), it does have conferred legitimacy in that OSI’s work is officially recognized and supported by UNESCO (which has both conferred and earned authority to speak on this issue). All this notwithstanding, conferred authority may also be unnecessary since many groups voluntarily convene to solve specific issues that people care about, and OSI is no different in this regard. OSI also has the potential for earned authority that derives from the diversity and credibility of its participants. It remains to be seen whether the policy outputs of OSI are also credible and whether this credibility will translate into additional authority. Labels aside, while the words mandate, authority and credibility may be difficult to assign to OSI at the moment, trying to pin these labels on OSI may be more of a distraction than a necessity. OSI participants are working together with UNESCO’s full support to solve problem of global importance. We can’t pre-judge this effort and say that because it defies easy description, it is therefore not worth attempting.
- What is OSI’s reason for being? Are we a hammer looking for a nail or does this need really exist? Does open matter to researchers? Do most researchers think the system is fine as is? The short answer, as noted in the OSI2017 report annex (SciELO presentation) really depends on:
 - *who* you ask (different disciplines, institutions and stakeholder groups can have markedly different views of what should and will happen)
 - *when* you ask (the answer is changing almost constantly)
 - *what* you ask about (some parts of publishing are changing, some aren’t)
 - *why* you ask (different problems—saving money, for instance—have different solutions)
 - *where* you ask (different regions and institutions have different approaches), and
 - *if* you ask this as a realist or an idealist (realists will say that nothing will change without publishers leading the way, idealists will say that publishers are the problem and that society has a moral obligation to reform publishing).

The work of OSI makes it clear that there is a broad diversity of perspectives and solutions. The summit group agreed that to the extent possible, it behooves OSI to embrace all efforts toward open and try to, at minimum, serve as an “honest broker” for these ideas. We also discussed whether working toward international synergy on open policies should be a goal of OSI—whether it’s best to move gradually toward more aligned scholarly communication policies across nations and funders. Institutions and disciplines should still experiment at the local level, but at the macro level it may not be ideal to have some major funders (government and private) mandate one kind of open access and other major funders mandate another.

- We claim to represent a community but is there even a community? Scholarly communication involves lots of different people with lots of different interests. Maybe “ecosystem” is a more accurate word than community. Stakeholders across the scholarly communication ecosystem

need to participate in reform for improvement to occur. Interconnectedness of issues needs to be emphasized and addressed. Getting people to broaden their thinking is job one.

More questions than answers were raised at this meeting. The questions weren't necessarily new. The fact that the old answers didn't entirely suffice is an encouraging sign that group members are now taking ownership of this thinking. That is, OSI has made statements in past reports about what it is doing and how, and these are still accurate, but they may be more aspirational than real. As a group, OSI participants will be weighing the summit group's questions and perspectives and the OSI effort will adjust language and policies accordingly. Fundamentally, OSI is still in its formative stages and what we're able to accomplish depends entirely on what OSI participants are willing and able to give, and how this message is received. We will move forward with the action plan approved by the summit group, remain responsible, engaged and flexible as we do so, and do our best to monitor feedback and impacts as this process unfolds over the coming years.

2018-19 ACTION PLANS

In terms of specific action items, the key proposals covered in the day-and-a-half of summit discussions were OSI issue briefs, the OSI website, OSI structure and governance, regional meetings, official statements and side projects.

Issue Briefs

OSI will begin writing and publishing a series of short (1200-1500 word) papers that distill the key findings from the OSI conferences and online discussions to date. Our primary reference will be the dozens of conference papers authored to-date by OSI participants, the thousands of emails we've exchanged on a wide variety of topics, and the deeper dives we've made via Slack and other means. These briefs will all have a similar structure, including a concise statement of the topic, and a summary of previous work done, work that still needs to be done, organizations working on the topic, key stakeholders and policy makers, and strategies for collaboration (see the Annex section for a more detailed description of the issue brief philosophy and format).

The first brief will describe the meaning of "open" in the context of scholarly communication. A draft will be reviewed by mid-April 2018 and approved for publication by early May. The format and tone of this work (as well as the review process, described below) will serve as a template for future briefs. Some of the possible paper topics (all of which have been covered at some point by OSI listserv conversations or by OSI conference papers) include:

1. The open spectrum
2. What should we (or can we) do about deceptive publishing?
3. The future of Beall's list & blacklists
4. Author attitudes toward CC-BY
5. What do we really know about embargos?
6. How fast is open growing?
7. Can we measure the economic impact of open?
8. How much profit do commercial publishers really make (and why do we care)?
9. Disaggregating publisher services
10. Workable models of peer review

11. The moral case for open
12. The OA2020 global flip pros/cons
13. Cash incentives in scholarly publishing
14. The open access citation advantage—fact or fiction?
15. The impact factor scourge
16. Information underload in the developing world
17. SciHub
18. Open IP
19. The central role of scholarly societies
20. P&T reform and why this is a necessary for the future of publishing
21. Working together on common infrastructure solutions
22. Including HSS in the reform conversation
23. What is publishing anyway?
24. Journal article retraction facts and figures (how much of this is driven by reproducibility, fraud, or a few bad actors, how is this changing over time, what is being done to address this, etc.)
25. Can OA publishing hurt your career?
26. Can society afford open access (the pros and cons of open policies unfolding in the EU)?
27. Who decides what is open?
28. Evolving open solutions
29. Readability in journals—is this an issue (does it really help anyone to make a lot more unreadable articles open)?
30. Why researchers use ResearchGate (and should they?)
31. How much research spending is allocated to publishing anyway?
32. Can scientists help combat the spread of fake science news?
33. Why academics might find “new wave” journals appealing
34. The US Federal Trade Commission’s ruling against OMICS
35. Does junk publishing pose a threat to scholarship?
36. The structure of publishing (for-profit, nonprofit, etc.)
37. global journal editing standards
38. global peer review standards
39. Has the time come for journal accreditation standards?
40. Are open protocols doable?
41. Is an iTunes model workable?
42. Issues at the intersection of open access and open data
43. The open matrix—taking the spectrum into more dimensions
44. A scholcomm definitions/glossary
45. A scholcomm how-to resource list: How to start an IR, how to publish in OA, etc.
46. Comparing regional issues and perspectives in OA (what’s most important in Africa, Latin America, Europe, China, etc.)
47. The culture of communication in academia: Overview
48. How to recognize predatory publishers & publishing
49. Misc stats/facts (how many journals, what percent open, etc.)
50. Journal methodology myths and facts (Is methodology important in evaluating research papers? Do some journals do a better job of evaluating the methodological aspects of submitted papers than others? Do some journals think “novelty” is more important than “rigor”? Is journal prestige a real thing? Are some journals better than others? Is a journal’s impact factor a good proxy for the rigor of its evaluation process?)

51. What are the open policies of different funding institutions, by funder, stakeholder group, institution, discipline, size, etc.

An OSI editorial team led by Claudia Holland will manage this list of topics and ensure they are shepherded through the writing, review, publishing and marketing process. Different OSI experts will be identified (or will volunteer) to take the lead on writing these briefs, with work scheduled such that a constant stream of briefs will be produced over the next few years (hopefully at a rate of about 1-2 briefs per month minimum). Two review processes will be used to produce and vet the final product—one open forum within OSI over a limited time period to collect feedback and comments, and another forum outside OSI to identify other relevant work being done. The first iteration of the inside-OSI forum will be led by David Mellor from the Center for Open Science, and the first iteration of the outside-OSI forum will be led by Eric Olson from ORCID. Both David and Eric have experience conducting these forums for their organizations.

Some of these briefs will be more policy-oriented than others. For one, some of the issues being addressed lend themselves better to policy positions. Second, there are a number of issues on which OSI participants have no consensus position (or at least, for which we haven't attempted to achieve a consensus or determine if one exists). In cases where it may be important to assert a policy position but where we cannot speak for everyone in OSI, issue briefs will contain a "dissent" section where those in OSI who disagree with the proposed policy can state their objections for the record (all papers will also carry a standard disclaimer that the views expressed are those of the authors and not all OSI participants). In general, Claudia's team recommends that the authority OSI carries to create policy papers is no different from other organizations representing their constituents' wishes through proclamations. OSI should be bold in sharing the work that has been produced by participants, and should do so publicly and widely. The briefs will serve to notify interested parties (including funders) throughout the world about what we've accomplished and draw attention to the longer reports by the conference groups.

Once prepared, OSI briefs may be formally published by Mason Press (which also published the OSI2016 and OSI2017 conference papers). The papers will also be posted on the OSI website, promoted on social media, and circulated to policy makers and institutions critical to scholarly communication.

Measuring the impact of these briefs will be harder, not unlike measuring the impact of OSI itself. Google Analytics will track download stats on the OSI website, and Altmetric will track other stats with regard to social media, mentions, and so on, but whether the ideas contained in these briefs gain traction is almost impossible to measure quantitatively. What we have noticed in OSI over the past few years is that what we discuss here has often appeared in papers and keynote addresses by OSI participants. Whether we started this thought process, cultivated it, or were just tapping into an existing sentiment doesn't really matter. Participants who acknowledge the complexity of the issues we're working on are validating our approach and effort, whether attribution credit is explicitly tied to OSI or even owing. Perhaps because of this dialogue (or again, even if in spite of it), it's becoming increasingly common to hear people in scholarly communications talk about how open isn't clearly defined and how open solutions aren't necessarily obvious. When OSI first started airing these kinds of perspectives back in 2014, such talk was almost heretical—the blowback we received from a number of key leaders

in scholarly communication was significant (and often personal). Now, however, three-plus years down the road, these kinds of concerns are expressed fairly widely. This isn't necessarily an OSI impact, but OSI may have had a limited role in helping make these conversations more allowable. The next step is to figure out what to do, of course—hand-wringing over the current state of affairs is not a stopping point.

OSI Website

OSI2016 and OSI2017 delegates agreed that reforming the culture of communication in academia should be this group's highest priority (other than funding studies to fill in the gaps in our understanding of the scholarly communication landscape). This group's conversations in the Summer and Fall of 2017 led to the development of an entity called "RSComm" to address this challenge. RSComm stands for the "research and scholarly communication"—two distinct branches of communication (the former dealing with peer-to-peer communication in research and the latter dealing with broader communication issues and practices in research). It was thought that developing a new field of RSComm, complete with a listserv and RSComm website, could serve as the point of the spear in OSI's reform effort (see the RSComm website schematic in the Annex section of this report). However, the summit group wasn't convinced of this approach during their March 2018 conversations, and advised instead to focus on revamping the OSI website.

The OSI website (osinitiative.org) is currently focused on explaining what OSI is about, and making all OSI conference records transparent (reports, funding, participants, and so on). The idea adopted by the summit group was to transform this site into the same sort of resource hub that RSComm was going to be, except more focused on just the issues directly related to what OSI has been discussing. The issue briefs mentioned earlier in this report would comprise a large part of the content included in this site. A draft version of the new OSI site will be developed by the OSI marketing communications team (Glenn Hampson, Rob Johnson, Eric Olson and Bryan Alexander) and submitted to the summit group for review by late May and then to the full OSI group for review and comment. A revised OSI website (probably under a new domain name, such as osiglobal.org) will be launched and promoted by early Summer 2018. RSComm will be handed over to the Science Communication Institute for continued development under the SCI umbrella (it will not be part of OSI, but will run parallel to it as a separate SCI project).

Issue briefs will only be one focus of the new OSI website. Non-brief content in the new site will emphasize the dimensions of culture of communication in academia writ large, such as:

1. Structural: There's a need for clarifying definitions (e.g., what exactly is open?), providing lessons of experience and best practices examples, providing a resource base for open efforts, tailoring messages to each community, and so on. This is the space staked out by the OSI2017 Culture of Communication workgroup. You can read the details of their proposal at <https://journals.gmu.edu/osi/article/view/1933/1354>.
2. Global impacts: Scholarship and scholarly publishing are dominated by the global north and west. Therefore, as we contemplate changes to the global scholarly communication system, we need to make a new system that works for everyone everywhere and doesn't marginalize or discriminate against the global south and east. Scholarship has a long tradition of reaching across borders. We need to work on behalf of scholarly

endeavors to ensure that our mechanisms for sharing and promoting sound research upholds these same critically important culture of communication values.

3. Quality control: How do we balance the changing publishing landscape with the need to maintain quality and accuracy?
4. Ownership control: Even more fundamentally, if we shift “too far” into open, what does this mean for the need for “secrecy” and “ownership” in research—ensuring that researchers have adequate time and space to finish their research before publishing and get credit for their discoveries. “Open” and ownership are seen by some as being in fundamental tension. Are technical or procedural adjustments the answer? Maybe provenance changes (like using blockchain)? Some will advocate that we even need legal changes (government-funded work belongs to the public—hence, no “private” ownership), or moral/ethical changes along these same lines.
5. Incentives: How do we address incentive structures that have intertwined publishing acumen, impact factors and citation scores with tenure and promotion measures and funding success (without damaging the value these systems have)?
6. Politics and perceptions: There are pressures and misunderstandings on all sides in this conversation. Libraries, provosts, publishers, researchers, and funders all have their own unique perspective on what constitutes good scholarly communication and why. Who is making these decisions and what are their motivations?
7. Inertia: Everything is built around doing thing the way they’ve always been done. If there’s a reason to change, we need to make the case, and we need to slowly and surely build the case for changing, beginning with a few pilots and partnerships here and there, testimonials and evidence, advocacy by societies and universities, and enthusiasm by funders and publishers. It’s going to take time, but if we’re on to something good here, and if everyone is part of the solution, and if we can establish realistic guideposts and milestones, change can be self-guiding.

The new OSI site will also better articulate and simplify OSI’s description—perhaps something along the lines of “Improve open, advance research, shape tomorrow.” Currently, our quick and memorable description isn’t so much an elevator pitch as a long car ride pitch (see the Annex section for a general description of where we are at the moment with messaging):

The Open Scholarship Initiative (OSI) is a global, UN-supported, multi-stakeholder effort working to: (1) correct a broad range of research and scholarly communication deficiencies and inefficiencies, (2) advance the openness of research and scholarly outputs, (3) lower the barriers for researchers and scholars everywhere to engage in the global research community, and (4) increase opportunities for all countries and peoples to benefit from this engagement. Since its inception two years ago, OSI has attracted a diverse and global group of experts who have thoughtfully constructed the framework for action. This group is now ready to start implementing reform efforts. OSI's first actions will be to clarify and simplify the messaging with regard to open access and scholarship (in order to reduce confusion and increase buy-in), and also create a resource hub for best practices, lessons of experience, and stories of reach, engagement and impact. As part of this effort, OSI will begin to leverage change through partnerships and collaborations, and catalyze an environment that gets people and institutions out of their silos to work together on reform. By working together, OSI participants and partners can build a better system of global research and scholarly communication that can provide enormous gains in access, contribution, and impact.

Importantly, summit members agree on the big questions of who we are and why we are part of OSI. Even though our interests are broad, they're all connected to "open" and this is the theme that unifies and motivates us all. It's within our scope if we tackle related issues like impact factors even though they aren't covered by our name—it's okay if names don't expand with the agenda—or if we try to link thinking in open data, open education, open access, and other open scholarship efforts. We are striving to develop real and thoughtful solutions to open, taking fully into account researcher concerns, priorities and perspectives. A rush to judgement that all open is good all the time and that there are one-size-fits-all solutions is not what we want—more so an effort to "do open right."

OSI Structure & Governance

A governance structure for OSI was developed in the Fall of 2016 and circulated to the full OSI group for review and comment. A final version of this proposal was discussed at the OSI2017 meeting in April of 2017. Delegates to this meeting voted to table consideration of the governance plan until a later date.

When it was discussed at the March 2018 OSI summit meeting, delegates again voted to table consideration of a formal governance plan and instead keep OSI an informally organized group. In place of a formal plan, the OSI program director (Glenn Hampson) and summit group chair (Scott Plutchak) have agreed to abide by the terms of the proposed governing arrangement until it is approved (or modified). More generally, the director and chair have agreed that the simplest description of OSI governance is that of a typical organization with a board. In this case, OSI's program director serves as the executive director of OSI and the summit chair serves as chairman of the board. The executive director manages day-to-day operations and most other functions without consulting the board, while the board provides strategic guidance and stakeholder representation and also holds the executive accountable.

The current summit group and chair have been appointed by the OSI program director. Five to eight additional summit members are currently being nominated by summit group to replace those who are leaving the group. Until determined otherwise (by both the summit group and the full OSI membership), the summit group will continue to develop OSI's action plans and will report regularly to the full OSI list to solicit feedback, ideas and volunteers to work on projects. Virtual summit meetings (via Zoom) will continue to be held monthly (two back-to-back calls per month in order to maximize participation from non-US based members).

Discussion is ongoing about the tools our group should use to improve engagement and facilitate discussion among all OSI participants. We currently use several listservs as our main conversation tool, and a Slack site for archiving milestones and to-do lists. As we move forward, some of the other communication reform ideas under consideration include:

- developing an opt-in communications list so OSI participants can engage directly instead of through the list. This capacity already exists, informally (since everyone's email address is available through conference programs), but the opt-in format is necessary to ensure compliance with emerging and stringent privacy rules.
- regularly-scheduled webinars for the full group
- internal and external newsletters

- a more robust social media presence for OSI, and
- a more robust and informative OSI website (possibly including a BuddyPress feature to allow OSI participants to more easily self-organize into interest groups).

Regional & Local Meetings

With the backing of UNESCO, regional and local meetings will play an important role in OSI’s work over the next several years. These meetings will:

- Engage more experts from specific regions (particularly non-US regions), disciplines, institutions, or stakeholder groups in OSI’s work. This will allow us to dig into and better understand specific challenges, and then help narrowly tailor specific solutions.
- Focus on evaluating, fine-tuning, and broadly adopting solutions (with the backing of UNESCO) for specific key issues in scholarly communication—for instance, impact factors, peer review, or embargoes.
- Work in more ad-hoc fashions—for instance, by creating side panels at conferences, or holding meetings with policy makers—on a variety of issues and proposals. This might take the form of identifying 3-4 key people from each region who are familiar with OSI and are willing to speak on behalf of OSI, and/or creating “tiger teams” that are equipped with (and trained in the use of) branded materials to talk about OSI at various conferences and meetings during the course of the year (using talking points, a slide deck, brochure, print-on-demand signage, etc.)

At present, OSI is working with SciELO to develop a special session for their upcoming 20th Anniversary program in September in Sao Paolo. OSI or UNESCO will provide travel funding for the delegates who should attend this meeting on behalf of OSI. In addition, UNESCO is organizing an “International Congress on Knowledge Economy” in China this October or November and will provide funding for 50 OSI representatives to attend. The agenda for the China meeting is still under development. The structure of future OSI-organized meetings will depend on our goals—whether it’s to present an open solution for discussion and adoption, collect information for consideration by OSI, and so on. To-date, between 120 and 190 participants have been at each OSI meeting.

Statements

UNESCO is interested in officially endorsing all briefs that OSI publishes, and also endorsing a statement that OSI produces about the future of scholarly communication. This “Statement 2020” wouldn’t be binding—it’s just an aspirational rallying point for where OSI (and UNESCO) are headed in this this effort.

Side Projects

The OSI Slack channel is archiving the group’s progress on a number of side projects. These are issues that the full group has decided are important enough to warrant further consideration off-list. The listserv isn’t a good tool for delving into issues in great detail—just for raising issues for consideration and framing the outlines of debate. Unfortunately, Slack has so-far not proven to be the right tool for this group to continue developing these topics. Mostly, this is just a

question of bandwidth. Until OSI is better resourced, there simply isn't enough time in the day to bring all these ideas to fruition. Here are the current projects under consideration (listed alphabetically by their Slack channel name):

#apcgrabber

A website that pulls in data on APCs for easy comparison or where publishers can self-post pricing info (granted there would be lots of caveats) would be a valuable resource for this community.

#blacklist

Should a new blacklist be developed? A whitelist? Some other solution? Various ideas have been discussed at length both on and off list and in a side group but a final decision hasn't been reached yet.

#cashincentives

What are the cash incentives to publish in academia? There is anecdotal evidence from some parts of the world that this is a significant phenomenon.

#coordination

Coordination and collaboration efforts are a top priority for 2017-18.

#cultureofcomm

Reforming the culture of communication in academia was identified as the highest priority task by OSI2016 and OSI2017 participants.

#itunes

Would an iTunes model work for scholarly journals? Would providing a-la-carte access to journal articles at 99 cents apiece be attractive to scholars and publishers?

#library

This channel houses links to various articles and studies we discuss in OSI (other relevant article links are also welcome)

#oafunding

What funding is available for OA work? What are the possibilities for increasing funding (e.g., setting up a group-funded pot for developing prototypes, conducting studies, etc.)?

#opendata

Is there a role OSI should play in the open data conversation? There is much overlap on the core challenges facing the open access and open data movements. Sharing insights and collaborating on efforts might be helpful to both.

#openimpacts

Follow-up on a listserv conversation regarding regarding the economic impacts of open. What do we know and where are the gaps in our understanding?

#openprotocols

Open protocols are an important and under-researched area. There are a few open protocol sites but none for major clinical work. What are the challenges?

#outreach

Outreach, marketing and advocacy efforts are the top priority for 2017-18, first for the top issues noted in the 2017 report, and then spreading to other issues as time and resources permit.

#policypapers

Develop OSI's policy briefs

#profitmargins

The profit margins of commercial publishers has long been cited in debates about

scholarly communication reform. Facts, however, are in short supply. A group of industry leaders and analysts is willing to pull together an authoritative on this topic.

#standards

Identify existing relevant standards, evaluate areas of overlap or perhaps conflict, which can be used to foster increased collaboration, and areas where relevant standards do not yet exist, which can be used to focus future effort

#studies

A wide variety of studies has been recommended by OSI participants, including embargo and global flip studies. What's the complete list, what are the priorities, and how can we start doing these (identify researchers, pursue grants, etc.)?

MOVING FORWARD

OSI planning and development work has continued year-round since November 2014. Here is a timeline for OSI's work between the end of OSI2017 (April 2017) and early 2019:

- May-August 2017: Writing and editing OSI2017 workgroup and stakeholder group papers, OSI funding and recruitment outreach, financial reporting (reports to funders), issue development (listserv and off-list), meeting summary, OSI2016-17 priority analysis
- August-December 2017: Planning for 2018 summit meeting (in parallel with follow-through on OSI2016-17 recommendations and requirements), feedback on OSI2017 report, funding outreach, RSComm development
- December 2017-March 2018: Logistical prep for summit meeting
- March 12-14, 2018: Summit meeting
- Mid-April 2018: Meeting recap and reporting, first OSI issue briefs prepared for group consideration
- April-June 2018: Development work on new OSI website, membership outreach work for summit group and OSI group, prep work on several other issue briefs, piloting of OSI brief review mechanisms
- June 2018: New OSI website launched
- June-August 2018: Significant outreach work to communities outside OSI regarding OSI briefs, fundraising. Prep work for SciELO and China meetings.
- June-December 2018: Continued development and promotion of OSI website, briefs, community building, coalition-building
- September 2018: SciELO meeting in Sao Paolo, with OSI panel
- November 2018: UNESCO-OSI meeting in China
- November 2018-February 2019: Follow up work on China meeting, prep work for 2019 regional meetings.

OSI has an ambitious agenda for the next several months and beyond. We look forward to moving into this next phase of our work and beginning to deliver on the enormous promise of OSI.

ANNEXES

1. OSI Summit Group
2. OSI Issue Briefs
3. OSI2018 Budget
4. RSComm Schematic
5. OSI Governance Guidelines (original)
6. OSI Declaration
7. OSI Marketing Brochure (sample)

ANNEX 1

OSI summit group & meeting attendees (as of 4/11/18)

ATTENDED	NAME	TITLE	STAKEHOLDER GROUP
x	Abel Packer	Co-founder and director, SciELO	Scholarly journal editors
	Ali Andalibi	Associate Dean of Research, Science, George Mason University	Research universities
	Anthony Watkinson	Principal Consultant CIBER Research	Scholcomm & publishing industry experts
X	Bhanu Neupane	Program Manager, UNESCO	Government policy organizations
X	Bryan Alexander	President, Bryan Alexander Consulting	Scholcomm & publishing industry experts
X	Christopher Erdmann	Chief Strategist for Research Collaboration, NCSU Libraries	Scholcomm & publishing industry experts
X	Claudia Holland	Scholarly Communication Coordinator, Mississippi State	Scholcomm & publishing industry experts
	Colleen Campbell	Director, OA2020 Partner Development, Max Planck Digital Library	Non-university research institutions
	David Mellor	Project Manager, Journal and Funder Initiatives, Center for Open Science	Open knowledge groups and “born-open” publishers
X	Eric Olson	US Outreach Coordinator, ORCID	Scholcomm & publishing industry experts
X	Gemma Hersh	VP, Policy and Communication, Elsevier	Commercial publishers
	Glen Campbell	Managing Director, BMJ North America	Commercial publishers
X	Glenn Hampson (ex-officio)	Program Director, OSI	
	Jason Steinhauer	Director, Lepage Center for History in the Public Interest, Villanova University	Open knowledge groups and “born-open” publishers
X	Joann Delenick	Biocurator, Jackson Lab	Active researchers and academic authors
X	John Warren	Head, Mason Publishing Group, George Mason	University and library publishers
X	Joyce Ogburn	Digital Strategies and Partnerships Librarian, Appalachian State University	Research universities
X	Kim Barrett	Distinguished Professor of Medicine and Editor-in-Chief, The Journal of Physiology	Scholarly journal editors
	Margaret Winker	Secretary, World Association of Medical Editors	Scholarly journal editors
X	Mel DeSart	Head, Engineering Library and Head, Branch Libraries, University of Washington	Scholarly libraries and library groups
X	Nancy Davenport	University Librarian, American University	Research universities
X	Patrick Herron	Senior Research Scientist for Information Science + Studies, Duke University	Research universities
	Richard Gedye	Director of Outreach Programmes, STM and Publisher Coordinator, Research4Life	Scholcomm & publishing industry experts
X	Rick Anderson	Associate Dean for Collections & Scholarly Communication, University of Utah	Scholcomm & publishing industry experts
	Rob Johnson	Director, Research Consulting	Government policy organizations
X	Scott Plutchak (chair)	Director of Digital Data Curation Strategies, UAB	Scholcomm & publishing industry experts
	Sioux Cumming	Programme Manager Journals Online, INASP	Open knowledge groups and “born-open” publishers
	Susan Murray	Director, African Journals Online	Scholarly journal editors
X	Win van der Stelt	EVP Strategic Relations, SpringerNature	Commercial publishers

Summit group construction (ideal)

Stakeholder group	Percent of OSI delegates	Summit reps (25)
1. Research universities	35%	7
2. Commercial publishers	10%	2
3. Scholarly societies and society publishers	5%	1
4. Non-university research institutions and publishers	5%	1
5. Open knowledge groups and “born-open” publishers	5%	1
6. University presses and library publishers	5%	1
7. Government policy organizations	5%	1
8. Funders, public and private	5%	1
9. Scholarly libraries and library groups	5%	1
10. Broad faculty and education groups	5%	1
11. Tech industry	5%	1
12. Scholarly research infrastructure groups	5%	1
13. Other universities and colleges	5%	1
14. Scholarly communications and publishing industry experts	Up to 20 per meeting	1
15. Active researchers and academic authors	Up to 20 per meeting	1
16. Scholarly journal editors	Up to 10 per meeting	1
17. Journalists	Up to 10 per meeting	1
18. Elected officials	Up to 10 per meeting	1

The current composition of the summit group doesn’t match the target composition as noted in the above table. The reason for this mismatch is two-fold:

1. The current group contains summit members plus members of the OSI steering committee—a core group of 10 advisors who have helped guide OSI since its inception. There is significant overlap between these two groups. And,
2. Summit group volunteers were not successfully recruited for all stakeholder groups.

The gender balance of this current group is also skewed. The full OSI group is close to balanced, but the 4/11/18 iteration of the summit group skews male as a consequence of who accepted the invitation to participate in this group.

ANNEX 2

OSI Briefs

Introduction

The participants in the OSI conferences and online discussions hold a wide variety of views on the subject of “Open.” The Initiative has not sought consensus, but rather to provide a structure that would bring representative voices from across all of the stakeholder groups affected by the scholarly communication process in the belief that through frank and candid discussion of the issues, solutions to what are perceived as problems in the existing systems might be found.

Out of those discussions, certain broad themes have emerged. Call them principles or assumptions or shared beliefs, they underpin the work that the OSI project hopes to engage in going forward.

- That the societal benefits of scholarship can be greater in a scholarly ecosystem that is more open and transparent.
 - The devil is in the details. What do we mean by “open,” by “transparent”? How do we calculate the costs and benefits of changes to existing systems? How do we identify and mitigate unintended negative consequences?
- That developing more openness in the ecosystem requires collaboration across a broadly diverse set of stakeholders—diverse in geography, in backgrounds, in function, in interests, in expertise, etc.
 - Most of the discussion around open comes from librarians, people in publishing, some funders and a few active scholars. But many other stakeholders affect and are affected by changes in the ecosystem. Disciplinary differences make generalizations about “researcher behavior” particularly suspect. The discussion is almost exclusively focused on activities in North America and Europe. But scholarly communication in the global south across both hemispheres differs in significant ways.
- That no facet of the overall ecosystem can effectively be addressed without taking into consideration how that facet affects, and is affected by, the other facets.
 - The work group discussions at the first two OSI conferences demonstrated that the issues affecting scholarly communication are broad and interconnected. Changes in the publishing paradigm can’t be addressed without considering the evaluation of research, trends in higher education, incentives that motivate scholars to particular actions, and a host of other intertwined social and economic factors.

While some claim that the scholarly communication system is broken, and advocate radical actions, others maintain that the system, as it is, works reasonably well and while minor improvements are always welcome, pushing for major changes is dangerous.

What we lack is a clear and comprehensive understanding of the current state of the scholarly communication ecosystem, one that takes a broad global look and identifies what is and isn't working, what improvements are possible and what tradeoffs they might require. This series of OSI Briefs is one attempt to address that lack.

The Briefs are intended to be short (1200-1500 words) summaries, drawn from the OSI reports as well as other work being done on the issues. They should provide a succinct statement of the issue and links to related work, providing a useful starting point for people looking to understand various aspects of the ecosystem. It is our hope that these Briefs will encourage discussion, that people will identify areas where they fall short, where they can be expanded and built upon, and that they will be a useful tool for understanding the complexities of the Scholarly Communication landscape and help to identify areas and strategies for making improvements.

ANNEX 3

OSI2018 anticipated budget

INCOME	Anticipated	Received*
Institutional support and commitments		
UNESCO	\$45,000**	\$10,000
Alfred P. Sloan Foundation	\$20,000	\$0
Elsevier	\$10,000	\$10,000
Nature Publishing Group	\$10,000	\$10,000
Wiley	\$10,000	\$10,000
Participant fees	\$0	\$0
Other donations (institutional & private)	\$1,000	\$0
Total income	\$96,000	\$40,000

EXPENSES	Anticipated	Spent*
OSI management fee (to nSCI)	\$29,000	\$6,000
March summit meeting		
Buses and shuttle from hotel to campus	\$1,000	\$1,300
Catering (lunches & coffee breaks)	\$4,000	\$5,000
IT services (est)	\$500	\$0
Signage and programs	\$500	\$750
Delegate scholarships (travel/lodging support)	\$6,000	\$7,000
Brazil meeting**		
Delegate scholarships (travel/lodging support)	\$20,000	\$0
Signage and programs (plus shipping)	\$5,000	\$0
China meeting		
Signage and programs (plus shipping)	\$5,000	\$0
OSI website development costs	\$0	\$100
OSI study funding costs	\$25,000	\$0
Total expenses	\$96,000	\$20,150

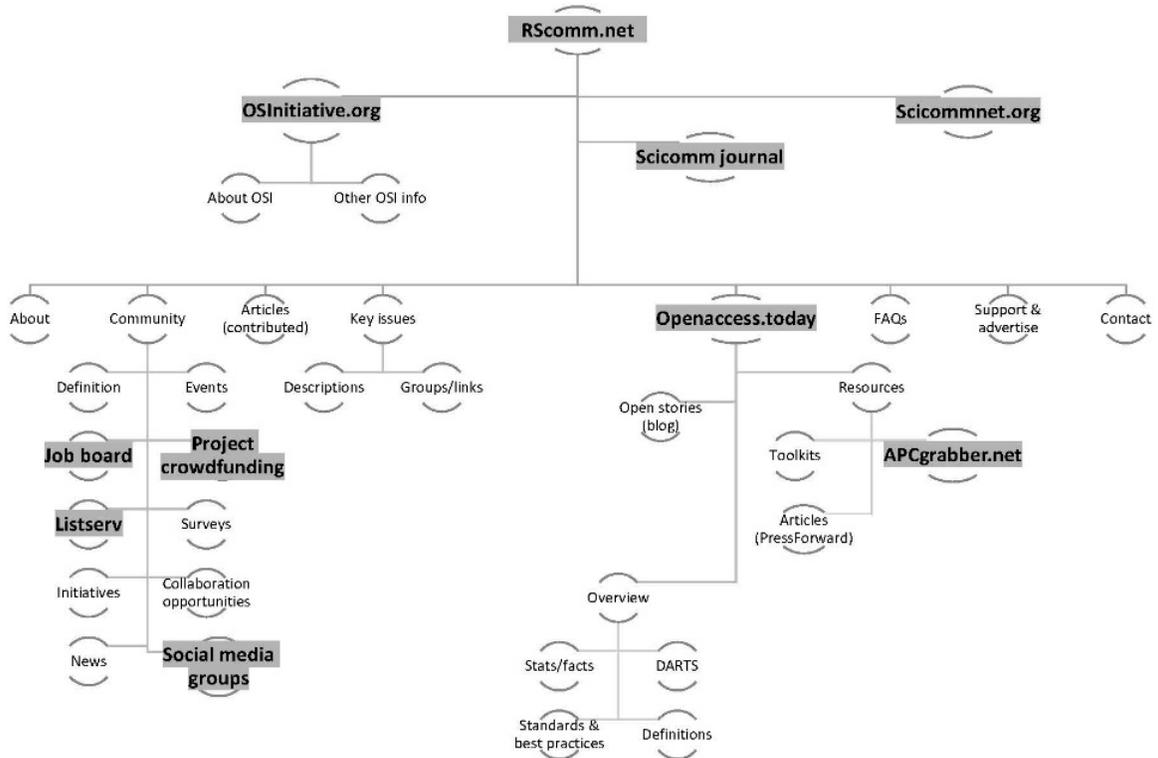
*As of mid-April, 2018

**UNESCO's support for the Brazil meeting may go directly to SciELO and not pass through OSI

ANNEX 4

RScomm Network website and related + linked internet properties (in grey)

Version 2, 10/17/17



ANNEX 5

Governance Guidelines

Proposed on 11/2/16 for adoption by OSI members
Revised on 11/16/16 and 4/5/17 based on feedback from OSI members
Final version presented to OSI2017 delegates on 4/18/17
Revised (simplified) version emailed to OSI2018 planning group on 6/30/17
New revised version incorporates recommendations from planning group, 7/5/17
New revised 2, incorporates more simplifications and recommendations, 7/21/17
New revised 3 incorporates edits from Mel DeSart, 8/22/17

Preamble

The principles and practices of scholarly communication are critical to the advancement of research and knowledge. OSI's mission is to build a robust framework for communication, coordination and cooperation among all nations and stakeholders in order to: improve scholarly communication; find common understanding and just, achievable, sustainable, inclusive solutions; and to work collectively toward these solutions that increase the amount of research information available to the world, as well as the number of people who can access this information regardless of location or financial capability. The guiding principles of OSI are to involve the entire stakeholder community in a collaborative effort; to value all stakeholder voices and perspectives; to thoughtfully consider the consequences of all approaches; to coordinate and collaborate on developing joint solutions and efforts; and to pursue and continue refining solutions over time to ensure their implementation, effectiveness, and success.

Definitions

- nSCI: The National Science Communication Institute, a 501c3 non-profit charity.
- OSI: The Open Scholarship Initiative, created and presently managed by nSCI.
- OSI management: The OSI program director, any staff reporting to the director, and any oversight above the director from nSCI or UNESCO.
- OSI member: An individual who belongs to the OSI listserv.
- OSI summit group: An advisory group for OSI comprised of OSI members.
- UNESCO: The United Nations Educational, Scientific and Cultural Organization.

Article 1: Goals

The goals and priorities of OSI are defined by OSI management, the OSI summit group (defined below), and members of OSI subject to the provisions described herein.

Article 2: Mechanisms

The mechanisms for achieving OSI's goals will vary and evolve over time, including but not limited to online conversations and annual meetings.

Article 3: Authority

OSI relies on participation and feedback from OSI members to ensure that the focus and priorities of OSI's activities reflect the focus and priorities of the broad stakeholder community in scholarly communication.

3.1. Stewardship. Until or unless an alternative arrangement is deemed desirable by OSI members, the stewardship responsibility for this effort will rest with the National Science Communication Institute (nSCI). The nSCI executive director assigns the program director for OSI, subject to such considerations that nSCI may deem necessary appropriate (such as consultation with OSI members and the nSCI board; note as well that these two roles might be filled by the same person).

- a. **OSI program director.** The OSI program director is responsible for hiring program staff, raising funds, managing all other aspects of OSI, and making all final decisions regarding the operation and financing of OSI, in consultation with partners (see article 5.2 below) as they may exist over time on strategic matters and with thorough and careful consideration given to input provided by the OSI summit group. The OSI program director reports to and is overseen by nSCI (as described above).
- b. **Change in stewardship.** Details on how stewardship for OSI can change will be added to this document as an amendment by the summit group.

3.2. Consultation. On all matters related to the content and substance of OSI, the OSI program director shall work together with OSI members and the OSI summit group to produce programs, products, position papers and more, which accurately reflect the sense of the OSI community. The OSI program director shall solicit and consider advice and feedback provided by the OSI members and summit group to the fullest extent practicable where the director deems this information to be helpful and/or necessary. This advice is crucial for the proper functioning of OSI but it is not binding—there shall be no mechanism, for instance, compelling the program director to adopt measures by majority vote of the members (in order to protect OSI from imbalance that may occur as a result of member recruitment over time, or member engagement).

- a. **OSI members.** OSI members shall work together on a variety of scholarly communication projects and discuss matters with each other on the OSI listserv, at annual OSI meetings, and through other channels. They will be informally consulted as warranted (in the judgement of OSI management or the OSI summit group) for feedback on OSI-related matters.

1. **Appointment.** OSI management will attempt to identify individuals who should become OSI members and will reach out to these individuals as needed on an ongoing basis.
 2. **Balance.** See Article 4: Member representation.
 3. **Rights and authority.** All OSI members have the same right to participate in OSI listserv conversations, make recommendations to the OSI summit group, offer advice and perspective to OSI management, participate in OSI projects and efforts, and other activities not otherwise described herein.
 4. **Tenure.** OSI members will opt-in annually to reaffirm their commitment to participate in OSI.
- b. **OSI summit group.** A committee of OSI members known as the OSI summit group will be empowered to revise (as needed) the proposals developed by conference workgroups, stakeholder groups, and other OSI members and groups, and to enact agreements and action plans built on these proposals after first consulting with these members and groups and with the full OSI group. The summit group will also be empowered to recommend changes to the OSI governance guidelines or other OSI materials.
1. Details on how the summit group shall operate and be elected will be added to this document as an amendment by the summit group itself.
 2. The first summit group will be appointed by the OSI director. Members of this first group will serve until an election process is determined for future OSI summit groups.

Article 4: Member representation

It is vital that the scholarly communication stakeholder community works together to build OSI, and views this effort as a collective investment—of time, money, intellect, effort, and goodwill—in order to ensure that OSI develops in a sustainable manner, and is both representative of and responsive to this community. To this end, including a broad array of perspectives in OSI is important. OSI will strive to ensure that listserv membership, annual meeting attendance, and summit group composition reflect this variety in rough proportion to the goals and quotas defined annually by the OSI summit group and reviewed by the OSI membership (noting that group definitions and numbers are going to be continually refined over time as OSI’s outreach and understanding grows).

Article 5: Funding and support

OSI may elect to receive financial and in-kind support from a variety of entities, including but not limited to governments, foundations and individuals. These entities will receive no special privileges or consideration in return for their support—only increased visibility as deemed reasonable by OSI (such as including their name and/or logo on the program cover and/or mentioning their name in press releases), except as otherwise approved by the OSI summit group. Funding and support decisions that may be problematic will be referred to the OSI summit group for advice. OSI may define the funding and support it receives in a variety of ways, such as gifts, grants or sponsorships. At the time of this document’s consideration, these three definitions are sponsors, partners and hosts.

5.1 **Sponsors.** Entities that provide financial support to OSI.

5.2 **Partners.** Entities involved in helping shape the program or structure of OSI. Partners are also listed as sponsors in order to avoid disclosure confusion (since some disclosure materials may only require a complete list of sponsors).

5.3 **Hosts.** Hosts are the universities and institutions that host OSI meetings. Hosting OSI meetings gives institutions and universities a unique opportunity to showcase their work and involve individuals (in the case of universities, these might be administrators, researchers, faculty, staff and students). Hosts may also be granted certain privileges with regard to participating in planning meetings, in which case they may also be considered partners. Hosts are also listed as sponsors due to their in-kind support, and for the disclosure clarity described in section 5.2.

Article 6: Legal commitments

There are no legal commitments involved in participating in OSI as an individual member, institution, summit group member, supporter, or any other capacity, except for the OSI program director, who is legally bound to this effort through the contracts that are signed for its funding and for program-related needs and activities.

Article 7: Durability

As long as the National Science Communication Institute is entrusted with this effort, nSCI will ensure the long-term durability of OSI and its products and assets at a minimum through calendar year 2025, barring any other management arrangements that OSI members choose through the mechanism described herein.

Article 8: Transparency

All records related to OSI (apart from private communications and the unique reports filed to sponsors so requesting) will be available for public review from nSCI until 2026. If another entity assumes responsibility for OSI (or if OSI becomes its own entity), this responsibility for transparency will be required to endure.

ANNEX 6

OSI Declaration

Proposed on 11/2/16 for adoption by OSI2016 and OSI2017 delegates. Not approved.

WHEREAS the principles and practices of scholarly publishing and communication are critical to the advancement of research and research knowledge;

WHEREAS scholarly publishing and communication have been in a state of transition for many years now;

WHEREAS no consensus exists across stakeholder groups regarding the pace, direction, solutions, global suitability, or decision authority for evolving scholarly publishing and communication policies;

WHEREAS no formal mechanism exists whereby stakeholder groups can regularly communicate and work together on solutions in a broad, collaborative, global way; and

WHEREAS developing a broad, collaborative, global approach is critical for the future of research and discovery, as well as for the continuity and predictability of scholarly publishing and communication and the impacts of these practices on research funding, public policy, economic development, and global information access and equity,

LET IT BE RESOLVED that the global Open Scholarship Initiative (OSI) should be supported. OSI's mission is to build an effective framework for direct, high-level communication and cooperation among all nations and stakeholders in order to improve scholarly publishing and communication—to find common understanding and just, achievable, sustainable, inclusive solutions, and to work toward these solutions together in order to increase the amount of research information available to the world, as well as the number of people everywhere who can access this information.

LET IT BE FURTHER RESOLVED that the guiding principles of OSI are to involve the entire stakeholder community in this process in a collaborative effort to improve scholarly publishing and communication; to value all stakeholder voices and perspectives in this process; to thoughtfully consider the consequences of all approaches; to collaborate on developing joint solutions and efforts that are carefully considered and widely accepted; and to pursue and continue refining scholarly publishing and communication solutions over time to ensure their implementation, effectiveness, and success.

Signed November 5, 2016 (individually and/or on behalf of institutions where indicated):

ANNEX 7

Sample brochure language (not approved)

OSI: Because knowledge belongs to the world

There are nearly 30,000 journals in the world today that publish over 2.5 million research articles every year. Major universities can access most of these. For smaller institutions—particularly those in the developing world—access to research knowledge is often a major barrier. Help level the playing field. Support the work of OSI.



Grow Open.

Open knowledge is the future. OSI embraces the broad spectrum of efforts to improve open, and provides a resource base for this work, as well as education tools, lessons of experience, idea synthesis, convening authority, networking, and research support.



Speed Up Discovery.

More access to published research means more informed and targeted research proposals, more efficient use of research spending, and ultimately, faster discovery.



Foster Collaboration.

The Internet allows researchers around the world to work together, but finding qualified collaborators can be difficult, especially in developing countries, new fields, and interdisciplinary fields. Breaking down the walls to research means getting a better understanding who is working on what.



Combat Fraud and IP Theft.

Scam artists publish bad research and fake research, and hackers steal and repost the work of others. These actions aren't "open" solutions at all—to the contrary, they make open harder to achieve. OSI is working globally to create a wide range of honest, sustainable research publishing solutions that will reduce fraud and theft and safeguard research.



Coordinated, Inclusive, Achievable Policies.

OSI is the world's only large-scale effort working together with all stakeholders, including commercial publishers, to understand complicated issues and perspectives in research communication and together, develop coordinated and achievable policies that will work with each other and for everyone everywhere, not just in the West.



Combat Fraud and IP Theft.

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