OSI 2020 ANNUAL REPORT

REPORT ON THE 2020 ACTIVITIES
OF THE OPEN SCHOLARSHIP INITIATIVE
APRIL 2021

OSI 2020 Annual Report

Report on the 2020 Activities of the Open Scholarship Initiative

April 2021

PROGRAM DIRECTOR'S STATEMENT

The Open Scholarship Initiative grew from a conversation about the future of open access on the ACRL listserv in the Fall of 2014. It officially took form in early 2015 thanks to support from the library and communications teams at George Mason University (arranged by Eric Olson), and to a pledge of financial support from UNESCO (arranged by Bhanu Neupane).

The first full year of OSI was devoted to laying the foundation for what we would try to accomplish, and to finding and recruiting high level scholarly communication experts from around the world. The second two years—2016 and 2017—centered around learning and fact-finding, featuring two full-group conferences from which numerous papers were published and thousands of lengthy listserv exchanges. The next phase—2018 and 2019—focused on action planning.

OSI's 2020 work was largely unaffected by the pandemic, save for belt-tightening on the part of sponsors. We continued our research, writing, and outreach work, publishing several major policy papers and speaking about the future of scholarly communication at several virtual conferences. We also continued to work closely with UNESCO on the development of UNESCO's open science policy.

Thank you to all the OSI participants who contributed to this year's discussions and efforts. Thank you as well to the Science Communication Institute (SCI) board for allowing me to continue to devote full-time work to OSI.

Sincerely,

Glenn Hampson
Program director, OSI
Executive director, SCI

2020 OSI HIGHLIGHTS

OSI's 2020 work emphasized policy development and outreach. In all, we published three major papers for the scholarly communication community, spoke at two conferences, and contributed to a variety of other important efforts. These efforts are summarized below:

- **Plan A** (February): In February of 2020, OSI launched Plan A, a global open policy proposal encompassing everything OSI believes in and wants to achieve. Rather than burying this important content in an OSI paper, or simply stating this information on the OSI website, Plan A was designed to be a stand-alone content vehicle that stakeholder groups could see and support without knowing anything about OSI. To the extent this vehicle helped clarify and focus OSI's plans, and improve the sharing of these plans, the Plan A website achieved its objectives in 2020. The plan website also attracted a number of important signatories in 2020; this effort wasn't marketed to collect thousands of signatures and compete with the likes of DORA or the Leiden Manifesto. Rather, the goal of Plan A was and remains to serve as a template for UNESCO policy on open solutions, or other broad policy initiatives that emerge. The Plan A website is online at https://plan-a.world.
- **2020 OSI summit meeting** (February): OSI's 2020 summit meeting recommendation was for this organization to keep churning out content, try to get more visibility for this content, and pare back expectations that Plan A would be widely adopted in total any time soon. To this end, OSI focused during the year on creating more content, and also engaging more with the international stakeholder community. The minutes from this meeting are included in the Annex section of this report.
- **OSI Policy Brief 2** (April): OSI's second policy brief was published in April of 2020, reiterating the case for pursuing common ground solutions to open, and describing more completely than in past OSI publications exactly what these solutions might look like. OSI published both a full-length and a summary version of this paper. The summary version was published on the Emerald Open platform, the longer version by Mason Press. Both versions can be accessed through the OSI website at https://osiglobal.org/2020/04/20/common-ground-in-open-research.
- **OSTP letter on public access** (May): In May, OSI responded to OSTP's call for comments on a proposed policy to align the publishing requirements of US government research funding agencies with Plan S (at least with regard to embargoes). This letter is included in the Annex section of this report.
- **OSI Policy Brief 3** (June): In June, OSI responded to UNESCO's invitation to comment on the agency's proposal to create a global standard for open science. Most of the responses that UNESCO solicited and received enthusiastically supported the ideological version of open science---that open access, open data, and other open solutions can be neatly defined and controlled, and that open science is simply an amalgam of these constructs. OSI's position, as described in this brief, is that open science is complicated and nuanced, and that supporting open science begins by

understanding the variety of ways researchers use open resources in science, and understanding what open accommodations and infrastructure researchers need to succeed. Access this paper online at https://osiglobal.org/2020/06/01/open-science-policy-recommendations-to-unesco.

- **UNESCO Regional Consultation** (July): UNESCO asked OSI to make a brief oral presentation for the US and Western European regional consultations it was conducting as part of its global open science consultation effort. Here again, although OSI's comments were well-received, they stood apart from other comments that enthusiastically supported a global policy that was rigid and ideological as opposed to flexible and evidence-driven. See the Annex section for the statement that was read.

- **Emerald podcast** (August): In August, Emerald Publishing conducted a 30-minute interview with OSI about finding common ground solutions in our pursuit of open access (as part of the Emerald podcast series). This interview is archived at https://www.emeraldgrouppublishing.com/future-open-research-how-can-we-work-together-create-a-common-ground.

- **BRISPE Conference** (August): On August 21, OSI presented (virtually) at the 6th Brazilian Meeting on Research Integrity, Science and Publication Ethics (VI BRISPE). The focus of this meeting was to explore the impact of COVID on research and research publishing practices. OSI's presentation, archived on the OSI website at https://osiglobal.org/wp-content/uploads/2021/04/BRISPE-presentation-final-Hampson.pdf, focused on the importance of peer review and other gatekeeping mechanisms in this environment.

- **CSE Conference** (November): A November conference hosted by the Council of Science Editors focused on the global challenges and stresses of the open solutions environment. OSI reiterated the case for how the time was ripe to begin working together on common ground open solutions, and how this could lead us to an "Open Renaissance." One presenter discussed how, because of the lack of suitable solutions (or more precisely, because of global pressure by the EU to impose its own version of an open future), China was going its own way on open solutions. See OSI's presentation online at https://osiglobal.org/cse-presentation-hampson/.

- **OSI Policy Brief 4** (December): In response to a request from UNESCO received in August, a team of authors from OSI began exploring what the future of open policy might look like if it were envisioned as a unified policy instead of a constellation of disparate policies. This groundbreaking work consumed all of OSI's fourth quarter, save for the CSE conference (described above). A rough draft of this brief was finished in December and presented to UNESCO and OSI for comment. A final version of the brief was posted on the OSI website in January of 2021 at https://osiglobal.org/2021/02/15/receemmendations-to-unesco-on-developing-a-unified-approach-to-open.

- **OSI infographics** (Jan-Dec): OSI began developing infographics in 2020 to help explain some of the basic concepts in the scholarly communication space to lay audiences. Three infographics were developed but not finalized due to the demands of

policy brief four (described above). These three were finalized in January and February 2021 and posted to the OSI website at http://osiglobal.org/osi-infographics.

- **Other** (Jan-Dec): In other activities during 2020, OSI continued applying for grants, connecting with other organizations in the scholarly communication space, and improving the suite of resources (web, social media, videos and more) we use to explain and promote OSI. CACTUS volunteered a significant amount of time and expertise helping OSI not just plan promotional materials but plan for a suite of resources to explain and promote the collaborative, open solutions approach described in OSI Policy Brief 4. The bulk of these resources will be developed and launched by mid-2021.

BUDGET

OSI has received $387,900 of funding to date. This support has been evenly divided between foundations, publishers, UNESCO and participants (in the form of conference registration fees). An important goal of OSI has been to avoid becoming "lopsided" in our funding, not to avoid becoming biased (since OSI's financial supporters contribute funding only and do not influence OSI's agenda or findings), but to avoid the appearance of bias.

Source	2016	2017	2018	2019	2020
Doris Duke Charitable Foundation	$0	$25,000	$0	$0	$0
UNESCO	$48,000	$25,000	$13,000	$0	$2,000*
Alfred P. Sloan Foundation	$20,000	$20,000	$20,000	$0	$0
Elsevier	$7,500	$20,000	$10,000	$5,000	$0
PressForward Institute (via Sloan)	$5,500	$0	$0	$0	$0
Taylor & Francis (Informa)	$0	$5,000	$0	$0	$0
Nature Publishing Group (Macmillan)	$5,000	$10,000	$10,000	$0	$0
George Mason University	$4,500	$0	$0	$0	$0
Wiley	$7,500	$10,000	$10,000	$0	$0
Laura & John Arnold Foundation	$5,000	$0	$0	$0	$0
Sage Publications	$5,000	$5,000	$0	$0	$0
Copyright Clearance Center	$2,000	$0	$0	$0	$0
ResearchMedia	$500	$0	$0	$0	$0
Emerald Publishing Ltd.	$0	$0	$0	$1,000	$1,000
Research Consulting Ltd.	$0	$0	$0	$1,000	$0
Delta Think	$0	$0	$0	$500	$0
Cactus Communications	$0	$0	$0	$5,000	$0
Cabell's	$0	$0	$0	$0	$5,000
Conference fees (@ $500 ea)	$58,000	$14,000	$0	$0	$0
Individual donations	$350	$300	$0	$375	$875
Total income	**$168,850**	**$134,300**	**$63,000**	**$12,875**	**$8,875**

*This contract was awarded to OSI's executive director, but the work involved was done by and funds directed to OSI. Because of this funding arrangement, UNESCO's payment does not appear on SCI's 940 form for 2020.

Sponsor type	Funding ($)	% of total OSI funding
Foundations	$100,000	25.8%
Publishers	$111,500	28.7%
Conference fees	$72,000	18.6%
UNESCO	$88,000	22.7%
Scholomm service	$14,500	3.7%
Individual donors	$1,900	0.5%
Total	$387,900	100%
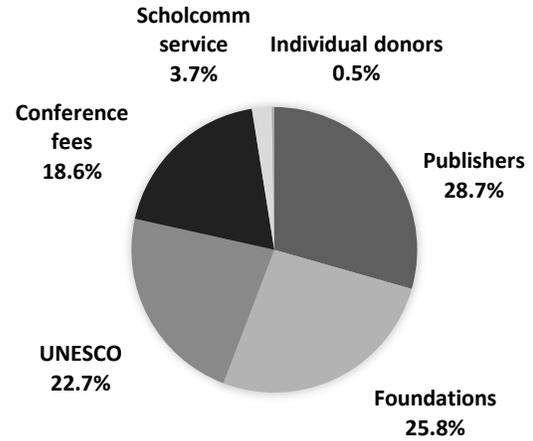
PARTICIPANTS

OSI's listserv had over 350 participants on it at year's end. Over the six years of OSI's existence, the number of individuals on this list has remained fairly constant, losing a dozen or so old participants every year and gaining a dozen new participants. Although the day-to-day message volumes are down significantly from the early years, OSI remains an important source of high level peer-to-peer information exchange.

Annex

1Q20 Summit Meeting
February 28, 2020

Attending: Joann Delenik, Mel DeSart, Richard Gedye, Rick Anderson, Ilona Miko, Jason Steinhauer, Bryan Alexander, Glenn Hampson

PRESENTATION

1. 2019 in review: Plan S paper (and lessons learned in process), 2020 action plan evolution and fine-tuning, grant applications (some major), UN agency outreach (including new and strengthened connections to UNESCO), some study prep (predatory study) and infrastructure project detailing (as noted in Plan A annex). Very nominal funding---can't afford a repeat in 2020.

2. 2020 priorities:
   a. Adopt and enact Plan A: Everything we hope to do in 2020 and beyond is baked into this plan
       i. Studies (which will help lay the groundwork for better understanding and action on issues like predatory publishing)
       ii. Projects (like an APC finder tool, an APC-subsidy database, a Yelp site for publishers, a global journals index, a global open survey, a predatory publishing awareness tool in collaboration with Cabell's, landmark projects with UNESCO like the Global Open Access Portal and the global open indicators project, much more)
       iii. Education and outreach (includes joint efforts, as well as better output from our briefs effort and more marketing of our open spectrum; other)
       iv. Convening: Bring experts together for UNESCO work and/or specific projects, like launching an effort to open climate science.
   b. Find long-term sustainable funding support for this work---- $50k/year isn't enough for us to actually do anything other than simply stay visible (which is okay as a minimum goal, but our full plans are more ambitious)
   c. Expand OSI to include more voices not currently included in this conversation---researchers, university provosts, scholarly society heads, more leaders of science groups from outside the US/EU sphere.
   d. Advise on UNESCO plan (it's unlikely, given the process, that we'll have a chance to personally advise OSTP)

DISCUSSION

1. Is the Plan A idea okay?
   a. A lot of Plan A hinges on having adequate support. Is this a problem? Yes and no. There is plenty for us to do in the total absence of funding this year---continuing to write

grants, write briefs, plan studies, build alliances, advise UNESCO, and more. This said, funding may be on the horizon for specific deliverables, like helping develop a new UN open access portal, or new UN open access indicators. Also, as Plan A gets promoted, funders may come on board (whereas they haven't supported OSI in the past, this may be because OSI itself wasn't proposing to build anything).

b. Does the current lack of specificity in Plan A give funders enough incentive? Funders may be more interested in knowing precisely what we're planning to do with their money instead of a just having a vague sense we're going to spend it on a smorgasbord of to-do items. To address this concern, more specificity will be added to the Plan A website. Also, projects will be prioritized (based on our ability to achieve these projects) to indicate what we'll be able to accomplish at various funding plateaus. And finally, it will be made clearer that funders will have a menu of funding options available. They will be able to support just projects of interest, or even propose projects not currently on our list.

  i. Written comment from Mel DeSart: "I think the major issue there is that plan A lists pretty much EVERYthing OSI wants to do (which is a LOT of stuff), but doesn't offer much in the way of priorities or of how we might go about tackling many of the items listed in plan A. Let's say some funder would agree to fund three of the projects that are listed in plan A. There's no real game plan listed for how we then would go about executing those projects. You've filled out lots of grant applications, so you know the kind of detail most of those grant apps ask for – PI, project outline, goals, general planned scope of work (how you propose to attack the problem), etc. Pretty much none of that's there in the current iteration of plan A. Whether everything _happens_ the way you outline is in a grant app is another question (it rarely does), but funders seem to like to see a pretty concrete PLAN in grant apps." A good approach might be to divide the Plan A document into two parts – "the broader all-encompassing piece, which is mostly what's there now, and a more focused and more detailed segment that would be the focus of what we would share with potential funders. Either that, or do two docs – one with the broader content of the current version that is mostly an internal doc, and a second, longer one, with a decent mount of the existing plan A content (a bit repackaged) as preface to a more detailed section that addresses fundable project opportunities in more detail, including for each one WHAT we want to do, WHY we want to do it, WHAT we hope to have as and end product from each one (notice I said "hope", not "have" - 😊) and WHAT we plan to do with that end-product. And, as you've already indicated below, indicate that funders can feel free to pick and choose which of those projects they might want to fund."

c. Written comment from Mel DeSart: "I don't think we can adopt AND enact plan A this year. We can adopt it, sure, but there are LOTS of moving parts in the current iteration of plan A, SOME of which we should be able to enact and some that we won't be able to. I think we should describe that first 2020 priority as adopting plan A and then beginning to enact/implement elements of it. Saying that we're going to enact plan A in

2020 is like saying we're going to build a factory all in 2020. That won't happen. But we CAN at least get started building it."

2. Is the Plan A name okay? Web address?
   a. Still no strong feelings one way or another. Another name option might be Plan O (for open). Or maybe we should key in on other unique elements of this plan (like diversity, global, or common ground…tbd).

3. The Common Ground paper is TLDR. Do we publish it with the disclaimer?
   a. The best way forward with this tome may be to condense it into a readable 8-9 page journal article, and then get this published in an established journal. The shorter format will allow more OSIers to contribute, and will ultimately also attract more readers. The 35 page article can still exist in the OSI archive (and be linked to from the shorter article), but maybe not as an official OSI-branded piece.

4. New business: Ideas, comments, questions
   a. Part of our challenge this year will be to increase the profile of OSI. Do more on Twitter? Tbd. Hopefully, the traction and visibility we get from our Plan A-related activity will be more than enough---being able to announce project updates on Twitter, etc., which will happen as a matter of course.
      i. Written comment from Mel: "Arguably the best way to increase the profile of OSI is to get stuff done and out there for people to see. There are some white papers, but the completion and availability of those seem to have been largely announced primarily on the OSI list, not more broadly. The second obvious way would be to get one of the bigger projects funded, completed, and the results announced, although that's a multi-year proposition."
   b. For the open indicators project, consider modeling this after the Creative Commons model (in terms of look and feel)? Add Ryan Merkley and/or Timothy Vollmer (OSIers from Creative Commons) to the open indicators development team?
   c. Regarding engagement, Mel notes that "The biggest problem you're always going to have with OSI (next to funding) is participant bandwidth – sometimes I don't have time to even READ everything you send out in timely fashion, let alone have much time to invest in working on a project. And you're always going to have that – everybody involved in OSI has a primary job that isn't OSI, except you. Not trying to be discouraging here – just trying to be a realist. I'm generalizing here, but those of us in academia often have a bit more flexibility and free time to work on projects in the summer than when the school year is in session. So if you want to recruit time and effort from much of that audience, indicating that a particular effort will take place mostly over the summer months might yield a better willingness to participate."

May 4, 2020

Dr. Lisa Nichols
Assistant Director for Academic Engagement
White House Office of Science and Technology Policy (OSTP)
725 17th Street NW
Washington, DC 20460

RFI RESPONSE: PUBLIC ACCESS

Dear Dr. Nichols,

Thank you for this opportunity to provide input into your policy process. This is an incredibly important topic, and I appreciate that you have been taking time to solicit and consider different viewpoints.

<u>Please note that the viewpoint expressed in this letter is entirely my own</u>. While I do head an international network of research communication leaders who have been working on reforming open research since late 2014 (the Open Scholarship Initiative, or OSI), this group doesn't issue opinion letters because we rarely if ever agree on anything—a strength when it comes to debating policy, a weakness when it comes to writing letters.

The answers you are seeking in this RFI are contained in OSI's recently published "Common Ground" paper. I highly recommend that you read the first part if you can (skipping the annexes is okay). It's located under the resources tab at http://Plan-A.world. The summary, which I'm copying here largely verbatim over the next three pages, is that we need to seek common ground in our collective effort to bring about the future of open research, and that we need to do this for three main reasons: to understand the full scope of the challenges in this space; to identify the best possible, most effective, most sustainable solutions; and to avoid unintended consequences. Do we know enough about the challenges of open research, are we confident the solutions we're pursuing are the right ones and are we accurately gauging the potential risks and benefits of our action and inaction?

These are basic questions that every policy process tries to unearth. They are also, however, questions that have never been asked by the scholarly communication community in any global, inclusive, high-level, large-scale sense. Instead of working together to change the global future of open in a way that benefits everyone equally we have been led for the most part as factions, with each faction pursuing its own separate goals based on its own separate sense of reality.

Certainly the potential exists to create a world with vast troves of open research so we can accelerate discovery, improve education and public policy and help make the world a better place. This is the goal of all research and it's the goal of the open movement to help research succeed. But figuring out the right way to do this is key. Many challenges are involved and the consequences of our actions and inactions are real.

First and foremost among these challenges may be overcoming our own hubris. The open research debate has for years been driven by claims that we know with certainty that open access as envisioned by some is an absolute good that clearly conveys benefits to research and society. This certainty makes for a compelling sales pitch but at the moment it is founded more in ideology than hard evidence. Working to find common ground doesn't mean questioning the potential of open or questioning motives or solutions but it does mean being open to the possibility that we don't have all the answers, and that to get these answers we need to work together. With these answers in hand we can then build a stronger foundation for moving forward and for achieving the full potential of open. Our default position in OSI is that we need to be more willing to embrace the diversity of thought, evidence and practice in this space— there's a lot of it—and embrace all efforts that help create a more open world (at least to the extent they don't squash this diversity in the process).

There has also been hubris from many stakeholder groups—publishers who have at times seemed somewhat tone-deaf to complaints about embargo periods and profit margins; funders who think they understand enough about the scholarly communication ecosystem to reform the entire system in a way that everyone must follow; open advocates who can sometimes seem more concerned with punishing publishers than protecting the needs of interests of research; and so on. Our inability and unwillingness in this community to listen, learn and treat each other with respect has been more common than not.

Complicating this task, our scholarly communication tools and practices have been evolving for decades now and there are a large number of organizations in the scholarly communication space who are actively working on a wide variety of reforms. Some of these groups are working together, most are not. Overall our progress toward a more open research world has been growing steadily, although much progress remains to be made.

Or at least some people see it this way. Some groups are convinced that not nearly enough progress has been made to-date. They may also feel quite strongly that commercial publishers have no place in the future of research and that no reforms are complete unless publishers are excised from the picture. Others feel quite strongly that publishers have a centuries-long track record of serving the research community and that the tools and processes put in place by publishers are essential to retain because they facilitate good research and are valued by the research community. Still others are caught somewhere in between—yes publishing is valuable, but exactly what is "publishing" in the digital age, and can't we do things more efficiently today than in years past?

There is also a wide range of disagreement over how fast needed reforms can and should happen. "Right now" is too slow for some and "ten years from now" is too fast for others. On the fast side advocates see the need for immediately freeing research information that could cure diseases and reverse climate change. On the slow side advocates see the need to move with caution lest we damage research with rash and ill-considered widespread changes; and others—perhaps more realists than worriers—advise that universities in all their diversity are really the ones in control of these reforms and that short of global action by university provosts themselves, no other stakeholder group working alone is going to change the global scholarly communication system any time soon.

Aside from issues directly related to open research reform—what kind of open and how fast—there are also many persistent issues in this space that will require global cooperation to solve. The misuse of impact factors is one such issue, for instance. Other broad issues include making peer review demands

more sustainable, reforming the publish or perish culture of academia (which affects promotion and tenure practices everywhere in the world), understanding through controlled studies whether embargos can be reduced or eliminated, better understanding the impacts of open research so we can better target our reforms and innovations, and much more.

So what can we do right now? Many of the people who have contributed to OSI's efforts over the years believe there's a path forward. This path involves rebuilding our quest for open research on solid, common ground instead of on narrow and fractured ideological ground. Ample common already ground exists in this community and the need for a common ground approach to address this complex system's many challenges is compelling. Also, a future built on common ground will be far richer and stronger than the future we are currently pursuing.

Step one is to continue doing what your office has been doing—talk to different stakeholder groups and learn about their issues and concerns. OSI has been at this since late 2014, engaging with hundreds of the world's leading experts on open research, many in-depth and for a sustained period of time.

Step two is to begin looking for common interests and concerns on which we can build a strong foundation for reform, and work together on change. OSI has proposed a framework for how this work can advance—our "Plan A." Other organizations are working on similar open roadmaps, including the National Academies, the National Science Foundation, and UNESCO. OSI is an advisor to UNESCO in their open roadmap effort (due to be completed by end-2021). We are also hoping to bring together at a high level the key organizations developing open roadmaps so they can compare notes as it were and see how they might be able to collaborate and cooperate on this global effort.

With regard to the specific questions you are asking, I think these can be answered as follows:

1. **What current limitations exist to the effective communication of research outputs (publications, data, and code)?** We know for certain that the current research communication system has a variety of inequities and inefficiencies. We also know there are many different communication needs and norms that vary by field, career stages, institution and region. We know circumstances like the COVID-19 and climate change crises demand a new and more effective model for research communication. And balanced against all this, we hear statements in the open advocacy space claiming that research communication limitations where the exist are the fault of commercial publishers and that by removing these publishers, the communication system will somehow improve. What we don't now for certain are facts: where exactly are these communication limitations, what exactly is missing (and for whom), what exactly do researchers need that they aren't getting now, and what realistic and sustainable reforms might be made in response. OSI's Plan A proposes to study these questions and come up with workable answers as a community. At the moment, we simply don't know enough to make policy decisions. We have a rough sense that the system is in disequilibrium, but beyond this we are only capable of randomly "tinkering." As one OSI participant noted (a funding agency leader who has been actively involved in the open research funding effort), we haven't been at all scientific with our efforts to reform science communication.

2. **How might communications evolve to accelerate public access while advancing the quality of scientific research?** With all respect, I think this question is backwards. We can easily mandate new access requirements, but we shouldn't do this and then ask whether our changes are

advancing the quality of scientific research. The proper question to ask is "how can we improve the quality of scientific research by improving research communication and access"? This is a much harder question to answer, and one that needs to work forward from first developing a better understanding of what researchers actually need, what systems and processes they will accept, and what these systems and process will contribute to research.

3. **What are the barriers to and opportunities for change?** Many barriers exist, including the inertia of the existing culture of communication in academia; an utter lack of trust between key stakeholder groups in the scholarly communication space; a lack of meaningful engagement by researchers in reform efforts; confusion about what "open" means; and a persistent preference of researchers to prioritize high quality and high impact over all else, including "open." Fortunately, there are equally as many opportunities for change in this space. All stakeholders recognize the same common issues, primarily centered around reducing costs, and improving access and impact. At a more fine-grain level, stakeholders commonly recognize the need to improve peer review, reduce the misuse of impact factors, control predatory publishing, and improve the ability of researchers from lower-resource regions and institutions to participate in research. Building a future based on our shared interests and concerns like these instead of on our ideological opinions about the proper role of commercial publishers and what form of copyright works best for everyone everywhere offers us an opportunity to move reform efforts forward in a rapid and robust way that hasn't been experienced to-date.

4. **What more can Federal agencies do to make taxpayer funded research results… freely and publicly accessible in a way that minimizes delay, maximizes access, and enhances usability?** The first questions we should be asking are of a more foundational nature: What are our common goals and interests in improving access? Where do we need rapid and maximum access (where is this demand coming from and under what circumstances), what options exist for achieving this, what kind of usability are we trying to enable, and specifically what outcomes are we attempting to achieve? Just as there are no one-size-fits-all solutions in scholarly communication reform in general, there are also no one-size-fits-all solutions regarding issues like embargo periods, copyright licenses, and access formats. We need to dig deeper first and lay the proper foundation so we can be exacting and effective with our solutions. Attempting to overlay broad and sweeping solutions on a diverse and global ecosystem like research is setting us up for failure, and delaying our work on achievable approaches that can start paving the way toward a truly robust future of open research. So to answer your question, then, what Federal agencies can do and should do is precisely what you are doing right now: ask questions, gather facts and perspectives, bring people together, and try to develop policy approaches that are based on a complete understanding of the issue, that respond to needs, build toward future goals, and that will be effective, supportable, and sustainable.

5. **How can the Federal Government engage with other sectors to achieve these goals?** There is no coordinated federal-wide action plan at the moment. In addition to OSTP, several other US government agencies—including NAS, NSF, and NIH—are also currently engaged in developing an open roadmap. OSTP may want to consider trying to engage with these groups so the federal government's open roadmap is unified. OSI is also working on a roadmap through Plan A, in addition to advising UNESCO in the development of this agency's open roadmap on behalf of the UN. I think it would be helpful for UNESCO to be able see what US federal agencies are thinking, and vice versa, so all of these efforts can learn from each other. The goal isn't necessarily policy alignment, but at least policy harmonization.

6. **How would American science leadership and American competitiveness benefit from immediate access to these resources?** It wouldn't. Open research holds tremendous potential to improve both research and society in ways we can only imagine, but only if it's developed together in a way that aligns incentives so researchers engage with open because it measurably helps their research and their careers. The current trajectory of open reform doesn't look like this at all. Research also depends on secrecy, prestige, and intellectual property rights. We can't simply declare that these fundamental factors no longer exist and that henceforth American science will lead by altruism instead. The outcome might be quite the opposite of what is intended. So, we need to be very circumspect with how we approach this challenge. Will an open future benefit research and society? Yes, but not just any open future. Can America lead the way? Yes. Will American science leadership and competitiveness benefit from immediate access to these resources? It depends what we mean by "these resources"—these haven't been developed yet. In theory, yes, of course, but quite possibly the answer is "no" as well—especially with regard to competitiveness—if we choose an open research "solution" that is quick and easy. After studying this issue at a high level for the last five years, I think the one thing the OSI group can agree on is that there is absolutely nothing about scholarly communication that is quick and easy. Real answers are going to take time and effort to develop.

7. **Analysis of options, models:** I encourage you to read our "Common Ground" paper for additional analysis (and our Plan S critique as well, if you have time). The Common Ground paper provides dozens of pages of analysis of various options and models discussed within OSI, as well as a more expansive argument for why developing options and models is really something that needs to come after a community-wide conversation has started, not before. The first step is to come together to discuss our common ground. This paper discusses what the foundation of our new collaboration might look like, and what we can achieve by working together. The fundamental argument is this: that at its root, the conversation we are having in this community is really about creating a better future for and through research. The research communication challenges of today will be solved and replaced with new challenges we can't even envision yet and that have nothing to do with open—evolving educational models, changing roles for universities, an increasing role for artificial intelligence and machine learning and much more. So in this broader perspective, open research is just a means to an end, not an end in itself. Our focus, therefore, should be directed toward what we are all trying to do for knowledge and society and how we can get there from here, even if this means changing our positions on what kinds of open strategies are "right" and "wrong." Our common devotion to this broad challenge of improving research and society is incredibly rich common ground, and as good a spot as any to begin building our new, stronger foundation for the future of scholarly communication, together.

Thank you again for providing this opportunity for feedback, and for reading this letter.

Most sincerely,

Glenn Hampson
Program Director, OSI

UNESCO Regional Consultation on Open Science for Western Europe and North America

- **Date**: July 23, 2020
- **Website**: https://en.unesco.org/science-sustainable-future/open-science/regional-consultations/western-european-north-america
- **Format**: Each panelist will be asked an initial question and will have 2 minutes to respond. The floor will then be opened for additional questions and comments.
- **Question to Glenn Hampson**, Executive Director, Science Communication Institute (SCI), Program Director Open Scholarship Initiative (OSI): From your broad experience in science communication and bringing together various stakeholders around open science, what would be the three key messages for the UNESCO's Global Recommendation on Open Science?

Statement:

Well, first, thank you to UNESCO's open science team for organizing this event and for the invitation to speak. It's an honor to be here, even if it's still very early in the morning out here in Seattle…

OSI was launched about five and a half years ago with UNESCO's help to listen to and report on the many different perspectives in this space. To the extent that it's possible to summarize all this work in three brief points (for the listening audience, the OSI website contains much more detail on these points if you're interested), OSI recommends that UNESCO:

1. EMBRACE the diversity in this space. There are so many different and important voices that represent different definitions, motives, goals, fields, disciplines, regions, and more. It takes a village to truly understand it all and create change. We can learn a lot from each other.
2. IMPROVE our understanding of open science. There is a lot that we still don't know. We need to keep an open mind in this quest.
3. BUILD on our common goals and interests. We're all trying to create a better world through open research. Let's unite to work together on the things we need to meet this challenge, like open infrastructure, better evaluation measures, and so on. Importantly, we also need to demonstrate the value of open by taking the next step and changing the world with it---working together to cure cancer and reverse climate change. To do this, we need data standards, low barriers to entry, massive participation and buy-in, new collaboration tools, new ways to add value to datasets, and more. This is the "next step" in open where as a community we haven't really focused yet. Stop focusing on the "internal debates," start focusing on science. Align incentives so that open becomes something scientists want to do, not something they're told to do.

So---embrace our diversity, improve our understanding of open, and build on our common goals and interest. If we can do this, we will be on the right road to creating a future for global open science that is

stronger and ultimately more successful (for both science and society) than any one of us can create alone.

1. EMBRACE the diversity in this space. There so many important voices in this conversation, representing different motives, goals, fields, regions, definitions and concerns, and such a vast wealth of activity and innovation. We absolutely need to be working on this challenge together and not take the easy path of accepting one-size-fits-all answers and solutions.
2. IMPROVE our understanding of open science. There is a lot we still don't know, like the scope and impact of predatory publishing, and what kinds of open work best for which audiences. We need to keep an open mind in this quest and avoid falling back on dogma, like "BOAI says." The more we truly understand about open, the more targeted and effective our open reforms can be.
3. BUILD on our common goals and interests---fundamentally, that there is a better world we're all trying to build that has open research as a foundation. To that end, work together on challenges like improving open research infrastructure, reducing the influence of impact factors, and changing the culture of communication in academia (through outreach and education, better proof of concept, better tools, and more reuse---especially with medical research; this latter challenge is highly complex—see recent NAS report).

How do we embrace the diversity of passion, creativity and energy in this space while at the same time respecting the diversity of opinions, and diversity of concerns and perspectives?

So, with this information in hand, how do we weigh all this and come up with global policy. After all, many of us are coming at this issue from different angles---different definitions, motives, goals. And others have backgrounds that reflect the unique challenges of their region, or their career stage in academia, or their research field. So, "reality" looks different to each of us. Which means that global solutions are difficult to develop because solutions that work for a well-funded mid-career medical researcher in France may not work at all for an underfunded early career history researcher in Canada.

OSI's recommendation is to look for our common ground. In the final measure, we aren't going to all agree to support an extremely specific Plan X that requires conditions A,B,and C for all research everywhere, or else. But we will agree, and we do agree, that there is a better world we're all trying to build that has open research as a foundation.

The first step in this journey is to stop treating the diversity of opinion in this space as a symptom of something that is wrong---as battle lines between people who either agree or disagree with the "right" road to the future. Instead, we should see this diversity as evidence that a great many people care about scholarly communication and are working hard to make it better. If we can start there instead of from the position that we are right and others are wrong---if we can approach this task from the perspective of wanting to learn from each other and do what's best for science---then the sky is truly the limit, and together, building on our common ground with facts and an open mind, we will surely achieve great things. That's the future I hope UNESCO sees---a future that is much more rewarding than any one of us can build on our own.